

United Nations  
Department of Peacekeeping Operations  
Department of Field Support  
Ref. 2018.06



## Guidelines

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# Field Verification and Control of Contingent-Owned Equipment and Management of Memorandum of Understanding

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Effective date : 01 May 2018  
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Review date : 01 May 2021

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**GUIDELINES FOR FIELD VERIFICATION AND CONTROL OF CONTINGENT OWNED  
EQUIPMENT AND MANAGEMENT OF MEMORANDUM OF UNDERSTANDING**

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**A. PURPOSE**

1. The purpose of these Guidelines is to describe the procedures and best practices to be implemented in the field for the verification and control of Contingent-owned Equipment (COE) and management of Memorandum of Understanding (MOU) between the United Nations and troop/police contributing countries (T/PCC) contributing resources to United Nations Peacekeeping Operations (PKO).
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**B. SCOPE**

2. These Guidelines are intended to assist mission management in dealing with matters related to the COE verification and reporting process and management of MOU. All mission personnel with responsibilities involving some aspects of COE verification and MOU management shall follow these Guidelines. Individual mission specific issues have been avoided..
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**C. RATIONALE**

3. The “Manual on Policy and Procedures Concerning the Reimbursement and Control of COE of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual)” is the overarching document on policies and procedures concerning the reimbursement and control of COE of T/PCC participating in peacekeeping missions. The Manual is a General Assembly document and its content is negotiated and approved by Member States every three years in context of the COE Working Group. These Guidelines are supplemental to the COE Manual and provide specific guidance on the organization and implementation of COE verification and control activities at the field mission level. These Guidelines should be used for establishing mission specific standard operating procedures (SOP) on COE verification and control, and management of MOU.
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**D. GUIDELINES****D.1. COE AND MOU MANAGEMENT**

4. Each field mission with formed units of military/police is required to develop and implement a comprehensive COE and MOU management programme to ensure that the capabilities of formed units, their ME and minor equipment holdings and their Self-sustainment (SS) capabilities meet the operational requirements of the mission. Field missions are required to verify on a periodic and systematic basis that military/police units have sufficient and serviceable ME and that the SS categories as stipulated in respective MOU are provided by T/PCC, the field mission or a third party; in accordance with the standards specified in the COE Manual. The United Nations reimburses T/PCC for their contributions of formed military/police units to peacekeeping operations. T/PCCs are reimbursed for personnel based on the standard monthly rates as indicated in Annex A of the MOU. Reimbursement for ME provided under wet or dry lease, is determined based on the standard monthly rates for specific items of equipment as indicated in Annex B of the MOU. Minor equipment, (less equipment associated with ME), services and supplies related to the SS support of contingents are reimbursed on a monthly troop strength basis under the standard monthly SS rates as indicated in Annex C of the MOU. Field Missions are responsible for the control and management of COE and MOU in the field and reporting compliance with MOU to UNHQ, as per the requirements detailed in the COE

Manual, and in accordance with the Verification Report (VR) submission schedules promulgated by UNHQ.

#### **D.1.1 Field Mission COE Programme**

5. The activities associated with the verification and control of COE and the management, implementation and administration of MOU are organized under, and referred to, as elements of a mission COE Programme. These elements include but are not limited to the following key areas:
  - 5.1. Establishment of Mission COE/MOU management structure;
  - 5.2. Planning and implementation of COE verification inspections and control activities;
  - 5.3. COE verification reporting;
  - 5.4. COE capability assessment and performance analysis.
6. While the concepts, principles and procedures detailed in the COE Manual are standard for all missions, the planning and organization required to make the most effective and efficient use of resources will vary among missions and make each mission's COE Programme unique.
7. Throughout a mission's life cycle, some factors affecting the control and management of COE and MOU may remain relatively stable while others may be more dynamic and require changes and adjustments to the management of the COE Programme, including task organization and the detailed COE verification inspection schedules.
8. The following factors will influence the planning and organizing of a mission's COE Programme:
  - 8.1. Number of staff and teams available for COE inspections and whether the military/police unit deployment locations require that COE inspection staff be geographically centralized or decentralised to achieve maximum effectiveness.
  - 8.2. Number, size and nature of military/police units and number of locations occupied by units.
  - 8.3. Number of ME items held by military/police units.
  - 8.4. Distance and travel time from COE base(s) to unit locations.
  - 8.5. Means and availability of transportation for COE inspection staff, particularly the Mission's weekly flight schedule.
  - 8.6. Security situation and force protection requirements.

#### **D.1.2 Field Mission COE/MOU Management Structure**

9. The roles and responsibilities of senior field mission and UNHQ staff for the verification and control of COE and management of MOU are outlined in Chapter 10 of the COE Manual. The field verification and control of COE and management of MOU is a mission responsibility requiring coordinated action and decision making between components. Responsibility for the detailed management and implementation of the mission COE Programme is normally assigned to a dedicated COE Unit established within the organizational structure of the mission support component (MSC). The line of reporting for COE Units to higher management levels within the MSC may vary between field missions.

**D.1.3 COE/MOU Management Review Board**

10. To facilitate coordinated action and decision making in relation to the management of the mission's COE Programme, each mission is required to establish a COE/MOU Management Review Board (CMMRB), as outlined in Chapter 10 of the COE Manual. Generic CMMRB terms of reference provided in Annex A describe the role and responsibilities of the Board, its composition and procedures, including how to submit requests for support to UNHQ.
11. In UNHQ, the Headquarters CMMRB performs an analogous function to the mission CMMRB. Composed of representatives from COE stakeholder offices in DPKO and DFS, the HQ CMMRB reviews, among others, specific issues arising from mission CMMRB reports that require HQ action or which have policy or political implications. In addition, the HQ CMMRB may also address broader matters related to COE management.

**D.1.4 Field Mission COE Unit**

12. The COE Unit should be an integrated element comprising international and national civilian staff, including United Nations Volunteers (UNV), and military and police staff officers.
13. The COE Unit should be headed by a civilian Chief, COE Unit at the Professional level with grade depending on the number and size of formed military/police units deployed and the grades of equivalent mission unit chiefs with similar technical and managerial responsibilities. Generic job descriptions for key COE staff are attached as Annex B. The job opening documents for recruitment/selection for COE positions should be based on relevant post classifications and job descriptions available through mission Human Resources Office

**Functions**

14. The general functions of a COE Unit or the staff responsible for the detailed daily management of the mission COE Programme are:
  - 14.1. Oversee, coordinate and monitor COE/MOU management related issues within the mission.
  - 14.2. Plan, organize and conduct all types of COE/MOU Verification Inspections.
  - 14.3. Prepare and process COE/MOU Verification Reports (VRs).
  - 14.4. Collect information of military and/or formed police units' ME and SS categories required for verification reporting and provide facts for resolving COE related queries arising in the reimbursement process. Facts or evidence may be presented in the form of text, photos and/or video clips.
  - 14.5. Collect additional information such as personal weapons, ammunition and explosives, and personal equipment, in support of information requirements by the Mission's logistics, Force Headquarters/Police Headquarters and/or the UNHQ in relation to logistics, operational and reimbursement matters.
  - 14.6. Verify and maintain records on the presence of and, where appropriate, the condition of COE donated to contingents by a third party.
  - 14.7. Establish and maintain the mission's COE/MOU library and database.
  - 14.8. Act as a point of contact between the mission and UNHQ for all COE/MOU related issues.
  - 14.9. Act as the Secretariat of the Mission CMMRB.

- 14.10. Provide input as appropriate to the preparation of the mission's budget relating to T/PCC potential entitlements to reimbursement for the provision of personnel, ME and SS services.
- 14.11. Support mission management in reviewing mission factors at least once every three years.
- 14.12. Provide representatives for participation in pre-deployment visits (PDV) carried out by UNHQ led teams to T/PCC home countries. Terms of reference and detailed instructions for the preparation and conduct of PDVs are specified in the DPKO Policy and SOP for PDV which are available on the [DPKO Policy and Practices Database](#).
- 14.13. Participate as required in reconnaissance visits by T/PCC representatives to the proposed unit deployment areas. The current DPKO/DFS policy and SOP related to reconnaissance visits are available on the [DPKO Policy and Practices Database](#).
- 14.14. Conduct systematic analysis of verification inspection results to identify ME and SS surpluses and shortfalls to MOU requirements, and in consultation with contingent representatives and appropriate mission and UNHQ staff, initiate remedial actions at the lowest possible level to meet agreed MOU and mission operational requirements.
- 14.15. Develop appropriate mechanisms to identify and report any loss or damage to COE that could be subject to claims by the T/PCC.
- 14.16. Advise Mission Support Sections and other mission elements on T/PCC reimbursement entitlements to assist the conduct of cost benefit analysis of alternative methods of providing ME, SS and other logistic support to contingents.
- 14.17. Assist mission property management staff to verify the presence and where appropriate the condition of United Nations-owned equipment (UNOE) issued to contingents.
- 14.18. Verify that the SS categories, for which the mission or a third party is responsible for providing in accordance with MOU, are being provided to contingents to the standards required by the COE Manual.
- 14.19. Assess whether the absence or non-functionality of contingent ME has resulted from reasons considered beyond the control of T/PCC.
- 14.20. Assist mission senior management, through the CMMRB process, to assess the eligibility and priority for rotation of approved categories of contingent ME.
- 14.21. Prepare SOP and other instructions within the mission in relation to the management of the COE Programme.
- 14.22. Prepare and disseminate COE Status Report reflecting results of key performance indicators (KPI) in line with COE performance analysis framework and reporting regime established through this guideline.

### **SOP and other COE/MOU Management Instructions**

15. The COE Unit will be required to prepare mission specific SOPs and other instructions for the management of the mission COE Programme. Mission SOPs and similar documents concerning the management of COE and MOU must be in conformity with the COE Manual, these Guidelines, and other appropriate approved Manuals/Guidelines and instructions; for example, the Property Management Manual, Medical Support Manual and Movement Control Manual. Mission specific SOP and other instructions should therefore be prepared in consultation with appropriate mission components. COE Units are to forward draft mission

COE/MOU management related Policies, SOPs and other related instructions to the COE Unit/LSD for comments prior to their formal approval by the mission.

## D.2. COE VERIFICATION PROCESS

16. The COE verification and control procedures are intended to ensure that the terms of MOU between the UN and T/PCC are met by both parties at the outset and throughout the period of effect of the MOU. Chapter 3 of the COE Manual outlines the principles of verification and performance standards for ME and SS. The COE verification process is dependent on the following:
- 16.1. Systematic conduct of verification inspections
  - 16.2. Verification reporting
  - 16.3. Analysis of verification results and follow-up actions to address shortfalls/non-compliance with MOU

### D.2.1 Verification Inspections

17. The effective management of the COE Programme is dependent on the successful execution of verification inspection activities and clear reporting with relevant facts in the VR. The COE Unit is responsible for planning and conducting the following types of verification inspections:

Type of Inspection	To be Conducted
Arrival Inspection	<u>ME</u> Immediately on arrival and completed within one month. <u>SS</u> As soon as possible after arrival and within six months with a view to an assessment of the operational capabilities of the equipment and services.
Periodic inspections and Spot-checks:	<u>Periodic Inspections</u> - At least once in every three months. <u>Spot Checks</u> - As required.
Operational Readiness Inspection (ORI)	At least once in every six-month period of the Unit's deployment in the mission area and anytime the mission believes the ME or SS services do not meet the standards required.
Repatriation Inspection	Close to/Following a Unit's cease of operations date and before the COE departs the mission area.

### D.2.2 Arrival Inspections

18. Arrival Inspections are conducted to verify that:
- 18.1. ME deployed by T/PCC, correspond to the categories and quantities of equipment as detailed in the MOU and is operationally serviceable; including painting and marking in UN colours. Where ME is provided under dry lease, the equipment is also to be inspected to determine whether its condition is acceptable in accordance with established standards.
  - 18.2. SS categories, as stipulated in the MOU, are provided by the T/PCC and the mission;
  - 18.3. Quantity and type of contingent-owned commodities such as fresh food, composite ration packs, potable water, fuel, oil and other lubricants deployed to meet the unit's initial provisioning requirements.



- 18.4. Quantity, type and serviceability of contingent-owned ammunition and explosives that has been deployed meet the requirements.
- 18.5. Deployed individual soldiers/police kits and personal weapons, as detailed in the MOU, meet the requirements.
19. The mission, in consultation with the contingent authorities, will decide the date, time and place for the inspection. During the inspection of SS, contingent representatives must explain and demonstrate the agreed SS capabilities and the mission must also demonstrate that the services provided by the mission or a third party, as stipulated in the MOU, are provided to the same standards as stipulated in the COE Manual. Further guidance on the preparation and conduct of Arrival Inspections is provided in Annex C.

### **D.2.3 Operational Readiness Inspections**

20. Operational Readiness Inspections (ORI) are conducted to assess the overall operational readiness of a Unit in terms of ME and the SS capabilities, the status of personnel equipment and personal weapons, ammunition and explosives, provided to the Unit by the T/PCC, the mission or a third party. ORI may be restricted in scope to specific areas of concern, as decided by the United Nations. ORI will be conducted at least once in every six months. All individual military/police kits and personal weapons, contingent ammunition and explosives, ME and SS categories, should be inspected to ensure that the agreed quantities are present; equipment is operational, serviceable, being used appropriately, and meets operational requirements. Further guidelines for detailed planning and conduct of ORI are attached as Annex D and a questionnaire to support the analysis and recommendations following an ORI is attached as Annex E.
21. ECOE-generated COE Inspection worksheets on ME and SS are used to record the inspection data and are identical for ORI, Periodic Inspections, Spot Checks and Repatriation Inspections.

### **D.2.4 Periodic Inspections, Spot Checks and Standard Operational Reporting**

22. Missions are required to submit ME and SS Verification Reports (VRs) to UNHQ on a quarterly basis in accordance with the schedules issued by UNHQ. Periodic Inspections should be conducted throughout the quarterly inspection cycle to ensure that all items of ME and all SS categories are physically verified at least once in each quarter. Periodic Inspections should be complemented by Spot Checks and Standard Operational Reporting by formed units, as detailed in Chapter 3 of the COE Manual, to enhance the continuous and effective monitoring of unit ME and SS status. Guidelines for conduct of Periodic Inspections and Spot Checks are attached as Annex F.
23. An example template for Standard Operational Report is attached in Annex G. This standard format should be used to report by formed units monthly. The report includes ME availability and serviceability, including the return to serviceability of ME items as they occur and to report the continued acceptability of SS services provided by the T/PCC, the mission or a third party. Return to serviceability or availability of ME and SS capabilities self-reported by contingents should always be subject to subsequent physical verification by the COE Unit staff or delegated to specialists, and if verified will be recorded on the contingent reporting date.

### **D.2.5 Repatriation Inspections**

24. The different circumstances leading to unit repatriation will influence the time and modalities for repatriation inspections. Repatriation Inspections will take place close to/following a Unit's cease of operations date and before the COE departs the mission area. Repatriation Inspections shall verify and account for all ME of the units or element thereof, to be repatriated

from the mission area. The inspection shall confirm that no UNOE is part of the consignment of equipment being repatriated. Representatives of appropriate mission technical sections including Property Control Inventory Unit (PCIU) should be included in the Repatriation Inspection team(s) to ensure that hazardous waste disposal and environmental clean-up requirements and proper accounting procedures for UNOE are followed.

25. If exceptional circumstances prevent the mission from conducting a Repatriation Inspection, the last validated Verification Report along with claims by the T/PCC will be the basis for subsequent reimbursement. When an element of a unit is repatriated and its associated COE equipment is transferred to another unit from the same T/PCC, a corresponding repatriation and arrival inspection involving the units is conducted to record equipment's status. Equipment repatriated as part of a regular rotation is to be accounted for in regular periodic/ORI reporting and is not subject to specific repatriation VR. Further guidance in relation to the preparation and conduct of Repatriation Inspections is attached as Annex H.

#### **D.2.6 Additional Inspections**

26. Additional verification inspections to those described above and deemed necessary by the Head of Mission (or his representative with delegated authority) or UNHQ may be conducted in consultation with T/PCC.

### **D.3. PLANNING AND CONDUCT OF VERIFICATION INSPECTIONS**

#### **D.3.1 Planning and Coordinating Inspections**

27. Verification inspections are a multifaceted exercise requiring a prominent level of detail in terms of planning, organization, coordination and conduct. COE Inspection teams must plan and coordinate inspections with contingent representatives and representatives of other involved mission components to avoid conflict with major mission events, the disruption of essential operational activities and to ensure that time and other resources are utilized in the most efficient and effective manner.
28. Annual and quarterly inspection schedules, for ORI and Periodic Inspections, should be prepared. The annual inspection schedules should indicate the tentative dates of major inspections taking into consideration the main events in the implementation of the mission mandate, major operational and official activities as planned by the Force/Police HQ and other mission components, anticipated arrivals, rotations and repatriation of unit personnel and equipment, mission host government and T/PCC official holidays, medal parades, and similar activities. The conduct of inspections should respect the military/police chain of command, inspection traditions and other protocols.
29. Quarterly Inspection Schedules should be prepared to confirm inspection dates and support requirements. An example of a COE Inspection Calendar is attached as Annex I. The composition of COE Inspection Teams will depend on the type of inspections and the specialists available from other mission components.
30. Normally, Periodic Inspections will be conducted by small COE Inspection teams while ORI will often require a larger number of inspectors and teams and may be highly decentralized. Where necessary the COE Inspection Teams may be organised into sub-teams and pair up with the corresponding unit representatives who are familiar with the concerned ME or SS category, e.g. commanding officer if available and/or second in command, operations officer, logistics officer, communications officer, medical officer, maintenance officer, transport officer and the quartermaster. No verification inspections should be conducted without the presence of a contingent representative.

31. ME and SS capabilities shall be verified in accordance with the performance standards defined in Chapter 3, Annexes A and B of the COE Manual and the respective MOU. Individual soldiers/police kits shall be verified in accordance with Chapter 9, Annex A, Appendix of the COE Manual and the respective MOU. Personal weapons, ammunition and explosives shall be verified as per the unit's Tables of Organization and Equipment (TOE) approved by DPKO. The inspection team should identify where performance falls short of the performance standards required and record the findings in the respective inspection worksheets
32. After verification inspection activities, the inspection team should provide a briefing to the contingent on the findings and clarify issues and the inspection worksheets are to be signed by the T/PCC unit representative and the COE Inspection Team Leader. Particulars of T/PCC representatives will be included in inspection record in ECOE. Specific instructions for inspecting ME and SS categories are attached as Annex J. This briefing is also an opportunity to inform about the possible and indicative deductions to personnel based on the percentage absence of ME in the VR.

### **D.3.2 Determination of Whether the Absence or non-functionality of ME has resulted for reasons considered beyond the control of the T/PCC in the context of linking COE reimbursement with personnel reimbursement**

33. General Assembly Resolution 67/261 (Sect II, para 11b) requires that;

*To the extent that ME specified in relevant Memoranda of Understanding is absent or non-functional, thereby impacting on the ability of a contingent to perform the responsibilities required of it, the rate of personnel reimbursements to troop or police contributing countries be reduced proportionally.*

*No deduction, to personnel reimbursements, will be applied until after two consecutive unsatisfactory quarterly contingent-owned equipment verification reports, and in any case not before 31 Oct 2013, to provide contributing countries with sufficient opportunity to address shortfalls.*

*No deductions, to personnel reimbursements, will be made for ME that is absent or non-functional for reasons deemed by the Secretariat to be beyond the control of the troop or police contributing country.*

34. To implement the resolution, additional information concerning the absence and non-functionality of ME is required to be reported by field missions to Headquarters. The additional information required to that normally contained in COE VR relates to:
  - 34.1. Reporting on whether field missions consider the absence or non-functionality of ME to have arisen because of circumstances beyond the control of the T/PCC.
  - 34.2. Reporting on whether T/PCC have made available for use ME 'in lieu of' (ILO) the ME listed in the MOU which is absent or non-functional.
35. Attention is required for assessing reasons for absence and non-functionality and ensuring consistency in the reporting. To assist missions to make this assessment, technical guidelines with cases and examples have been attached as Annex K.

### **D.3.3 Procedures for the preparation, review and submission of verification reports**

36. The COE Unit is responsible for preparing, reviewing and submitting VR as per the submission schedule issued by UNHQ. The preparation, review and submission of VR are described in Annex L.

#### **D.4. OTHER PROCEDURES AND GUIDANCE IN SUPPORT OF COE/MOU MANAGEMENT**

##### **D.4.1 Monthly Troop/Police Strength Analysis Reports**

37. Normally, the Chief Military Personnel Officer (CMPO)/Police FPU Coordinator (FPU Coord) are responsible for maintaining daily troop strength records and for preparing and submitting Troop/Police Strength Analysis Reports (TSAR) through the mission chain of command to UNHQ.
38. In some missions, the COE Unit may be tasked to review the monthly TSAR for accuracy and completeness before the TSAR is submitted to the DMS/CMS for signature. Where there is no Force Headquarters/Police Headquarters, staff dealing with COE matters may be made responsible for TSAR preparation and submission.
39. The verification of contingent strength (Annex A of the MOU) is reported using Troop/Police Strength Analysis Reports (TSAR) submitted by the mission to OPPBA/PFD and by the COE Unit to MCMS/FBFD attached to SS VR. It is important that the same reports are sent to both departments.

##### **D.4.2 National Command Element (NCE) / National Support element (NSE)**

40. In accordance with the MOU, T/PCCs may, with the agreement of the UN, deploy additional personnel and equipment as national command/support elements (NCE/NSE), at their own expense. T/PCCs are not entitled to standard personnel, ME or SS reimbursements for the additional personnel or equipment and the UN is not otherwise financially liable for the costs of deployment, rotation, repatriation or other forms of administrative and logistic support provided to the NCE/NSE.
41. The costs of any support, such as rations, water, fuel, electrical power, accommodation, transportation, and vehicle insurance etc., provided by the mission for the use of NCE/NSE are subject to recovery action. A cost recovery report detailing the support provided by the mission to NCE/NSE should be attached to the appropriate unit VR and submitted to UNHQ.
42. NCE/NSE equipment should be subject to an Arrival and a Repatriation Inspection. Periodic inspections may be required in coordination with the T/PCC contingent commander.
43. NCE/NSE equipment should be recorded in ECOE System for supporting the management of resources such as supply of fuel and lubricants, insurance and other costs.

##### **D.4.3 Disposal of COE**

44. COE may be disposed of by repatriation, sale, and donation or by disposal action by the mission on behalf of T/PCC. T/PCCs are to be encouraged to repair or dispose and replace the COE which is found to be non-functional for four consecutive quarters (12 months), within the ensuing six months. Regular analysis should be conducted by the T/PCC to identify COE that has become unserviceable beyond economical repair (BER) or obsolete with a recommendation for disposal actions.
45. Disposal should be an on-going process, rather than an action undertaken shortly before contingents' repatriation. When any COE is disposed of, updates are to be made in ECOE concerning the affected items with a remark and disposal action reflected in the appropriate VR of the unit. Guidelines on disposal of COE are attached at Annex M.

#### **D.4.4 Damage to COE during Transportation**

46. According to the COE Manual the party making transportation arrangements is responsible for loss or damage incurred during transportation. Guidelines for dealing with COE damaged during transportation into and out of the mission area are described in Annex N.

#### **D.4.5 Rotation of ME at UN Expense**

47. The rotation of COE at UN expense may take place when it has been continuously deployed for seven years or reaches half of its estimated useful life, whichever is sooner, and is no longer economical to repair or maintain in the mission area. The 2017 COE Working Group (WG) has expanded the eligible ME categories and it now includes the following: armoured personnel carriers (wheeled or tracked); engineering vehicles; support vehicles (military and commercial patterns); engineering equipment; and aircraft/airfield support equipment. The WG also expanded the rotation to eligible categories of ME lost or damaged due to hostile action or forced abandonment.
48. The WG has also established the condition wherein rotation will be considered when the amount of equipment proposed for rotation represents 10 percent or more of the amount of equipment in at least one eligible category. The annual cost limit of such rotations is set at US\$ 8 million per budget year.
49. The estimated useful life of ME is detailed in Chapter 8 of the COE Manual or is determined during the Special Case procedures for ME. ME rotated at UN expense under the new provisions shall be treated as if it were COE being repatriated at the end of a contingents' deployment and reported in the quarterly VR. Replacement equipment for that rotated shall be treated as COE being deployed as part of a contingents' initial deployment to the mission but and reported in the quarterly VR of the Unit.
50. ME for rotation at UN expense is considered by the mission CMMRB, in consultation with the applicable contingent commanders and strategic review teams, based on operational requirements within the mission. Missions are to forward the CMMRB determination of eligibility and recommendation for rotation of ME to UNHQ in line with the instructions at Annex R.

#### **D.4.6 Recovery of Support Provided by the UN to Contingents**

51. Contingents may sometimes be unable to meet their obligations as detailed in the MOU for the provision of SS services or provide spare parts and consumables associated with ME or minor equipment and request the assistance of the mission. Missions should establish clear procedures for contingents to request the issuance of UN provided support including consumables. Such procedures should include a formal request by contingents to include an acknowledgement that the provision of such support by the mission may result in cost recovery from their government's entitlement to SS reimbursement.
52. When there is an urgent operational requirement for the restoration of capability and where a T/PCC is not able to repair, rent or deploy replacement equipment, spare parts or consumables, it becomes the responsibility of the mission to provide the capability, irrespective of which party is responsible according to the MOU. The basic principle of support is that of a partnership between the UN and the T/PCC to carry out the mandate of the mission, wherein one partner takes over the responsibility the other partner cannot undertake. Such arrangements should be reflected in the VRs. Cost recovery reports/invoices etc. after due certification by the contingent commander and the mission should be attached to the appropriate VR.
53. If UNOE is provided to assist contingents to meet their SS obligations and this equipment can be considered as equivalent to ME listed in the COE Manual, for example Reefer Containers,

or Tents for deployable platoons, cost recovery should be based on the monthly reimbursement rates for these items in the COE Manual. If the mission provides equipment through commercial rental sourcing, i.e. Reefer Containers, to assist contingents to meet their SS obligations, cost recovery should be based on the actual rental costs to the UN of the equipment.

#### **D.4.7 Reimbursement for Expenditure of Ammunitions/Explosives**

54. T/PCC may be entitled to reimbursement for ammunition/explosives expended for operational purposes, or for 'specifically authorized operational training beyond accepted UN readiness standards' as authorized and directed by the Force Commander/Police Commissioner. T/PCC may also be entitled to reimbursement for ammunition and explosives which become unserviceable/life expired in the mission area and for explosives expended when disposing of UXO/IED as a Force Task. Explosives expended in support of the EOD SS category may not be claimed for by T/PCC, as the expenditure is covered by monthly reimbursements for the category.
55. The expenditure of ammunition and explosives is reported, for reimbursement purposes, using Operational Ammunition Expenditure Certificates (OAEC). The initial preparation of OAEC is a contingent responsibility. Once processed by the mission, a copy of the OAEC should be provided to the contingent and a copy forwarded to UNHQ (Supply Section/SSS/LSD/DFS). Additionally, a copy of the OAEC should be attached to the next ME VR submitted to UNHQ. Detailed procedures for the preparation and submission of OAEC are found in Annex P.

#### **D.4.8 Environmental Compliance and Waste Management**

56. The 2017 COE WG strengthened the model MOU to establish responsibilities and expected actions of all uniformed personnel regarding contingent environmental compliance. Chapter 9, Article 7 of the COE Manual, "Environmental Compliance and Waste Management", requires contingents to endeavour to conduct themselves in an environmentally conscious manner and act in support of and in compliance with UN environmental and waste management policies and procedures. In addition, it requires the UN to endeavour to aid contingents to enable them to do so, including providing contingents with mission-specific briefings, induction and continuing training on field mission procedures concerning environmental and waste management policies and procedures.
57. Environmental Policy requires that the Heads of the Military and Police Components appoint environmental focal points. These appointed officials are responsible for liaising with the mission's environmental officer on environmental issues including the monitoring, assessment and reporting of contingents' compliance with environmental and waste management policies and procedures, and ensuring that environmental briefings are provided during induction training. COE Units should request the participation of mission environmental and waste management staff during appropriate verification inspection activities and should forward any reports prepared by the mission in relation to individual contingent compliance attached to appropriate ME or SS VR. When practical, COE Units should assist the environmental and waste management staff to conduct their technical inspections, briefings and training of contingent personnel in environmental and waste management matters. Reference should also be made to the DPKO/DFS Waste Management Policy for UN Field Missions.

#### **D.4.9 Performance Analysis Framework**

58. In support of the overall management of COE capabilities deployed in peacekeeping missions by Troops/Police Contributing Countries, the COE Unit/LSD developed a COE Performance Analysis Framework. This framework contains guidelines, business processes, KPIs, and quarterly review and reporting regime both in the field and at UNHQ. Participation in the

framework is required for field staff. Details of COE performance management framework is described at Annex P.

#### **D.4.10 ECOE overview**

59. ECOE is the application used to support COE operations in UNHQ and the field. ECOE is supported by ECOE Mobile, the tablet application used to collect data and produce signed digital and hardcopy worksheets during inspections. Details on ECOE and ECOE Mobile are provided in Annex Q. The Terms of Reference for the ECOE Project Board, the ECOE management body responsible for setting project enhancement, are available in Appendix 1 to Annex Q.

### **E. ABBREVIATIONS AND DEFINITIONS OF TERMS**

60. The abbreviations and definitions of all terms given in this glossary are for the purposes of this publication only. They are in no way intended to reflect or imply a broader or more general meaning or definition beyond the scope of this publication.

#### Abbreviations

AMET	Aero-Medical Evacuation Team
APC	Armoured Personnel Carrier
CCITS	Chief of Communications and Information Technology Services
CCO	Chief Communications Officer
CMMRB	COE/MOU Management Review Board
CMOS	Current Military Operations Service
CMPO	Chief Military Personnel Officer
CMS	Chief of Mission Support
CPMSS	COE & Property Management Support Section/SSS/LSD/DFS
COE	Contingent-owned Equipment
COP	Community of Practice
CTO	Chief Transport Officer
DFS	Department of Field Support
DLSD	Director of Logistics Support Division
DM	Department of Management
DMS	Director of Mission Support
DPKO	Department of Peacekeeping Operations
ECOE	The COE application used to create and store field inspection data, and to produce and transmit VRs to UNHQ.
EOD	Explosive Ordnance Disposal
FBFD	Field Budget and Finance Division

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FC	Force Commander
FDS	Field Defence Stores
FGS	Force Generation Service
FMO	Force Medical Officer
GA	General Assembly
GFMV	Generic Fair Market Value
GPS	Global Positioning System
HCC	Headquarters Committee on Contract
HOM	Head of Mission
HQ	Headquarters
HF	High Frequency
HRA	High Risk Area (medical)
ICTD	Information and Communications Technology Division
IED	Improvised Explosive Device
ISS	Integrated support Service
KPI	Key Performance Indicators
LCC	Local Committee on Contract
LOA	Letter of Assist
LRF	Laser Range Finder
LSD	Logistics Support Division
MCMS	MOU and Claims Management Section
MHE	Material Handling Equipment
MOU	Memorandum of Understanding
MOVCON	Movement Control
MSC	Mission Support Centre
MSM	Medical Support Manual
NCE	National Command Element
NSE	National Support Element
NVD	Night Vision Device
NVG	Night Vision Goggles
OAEC	Operational Ammunition and Explosives Expenditure Certificate
OPPBA	Office of Programme Planning, Budget and Administration
ORI	Operational Readiness Inspection
PC	Police Commissioner
PD	Police Division



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PDU	Property Disposal Unit
PDV	Pre-Deployment Visit
POL	Petroleum Oil and Lubricants
ROE	Rules of Engagement
SAG	Senior Advisory Group
SC	Security Council
SG	Secretary-General
SOP	Standard Operating Procedures
SRSG	Special Representative of the Secretary-General
SUR	Statement of Unit Requirements
T/PCC	Troop/Police Contributing Country
UNHQ	United Nations Headquarters
UNOE	United Nations owned equipment
WG	Working Group
WTP	Water Treatment Plant

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## F. REFERENCES

### Normative or superior references

- A. Manual on Policy and Procedures Concerning the Reimbursement and Control of COE of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual) – A/72/288
  - B. General Assembly resolution, 67/261, Section II Absent or Non-functional ME, dated 06 June 2013
  - C. General Assembly resolutions 68/282 and 71/296 approving rotation of certain categories of COE at UN expense
  - D. Environmental Policy for UN Field Missions, June 2009
  - E. Waste Management Policy for UN Field Missions, September 2015
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## G. MONITORING AND COMPLIANCE

61. Chief COE Unit/LSD/DFS has the overall authority for oversight and monitoring of the compliance to this Guideline.
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## H. CONTACT

62. All enquiries about this SOP and requests for amendment should be sent to Contingent-owned Equipment Unit/SCPMPC/LSD/DFS.

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**I. HISTORY**

63. Guidelines for Field Verification and Control of Contingent-owned Equipment and Management of the Memorandum of Understanding (Provisional) were issued by LSD Fax: 2008-UNHQ-026752 dated 28 January 2008.
64. The Guidelines were subsequently updated and re-issued by LSD Fax: UNHQ-LSD-Fax-1-2015-5999 dated 20 October 2015..
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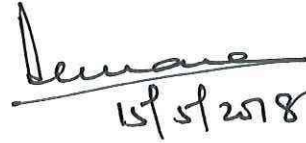
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**Date of approval:**

**MAY 18 2018**

**APPROVAL SIGNATURE:**



**Date of approval:**

## **Annex A. TERMS OF REFERENCE OF THE MISSION COE AND MOU MANAGEMENT REVIEW BOARD**

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### **A. GENERAL**

1. Terms of Reference for the Mission COE/MOU Management Board (CMMRB) derive from the responsibilities of the Special Representative of the Secretary-General/Head of Mission, the Force Commander/Police Commissioner, and the Director/Chief of Mission Support for managing COE and MOU as defined in Chapter 10 of the COE Manual.

### **B. PURPOSE**

2. The CMMRB is established as a senior management decision-making mechanism to ensure an integrated and systematic approach in executing COE/MOU management and control functions in the Mission. The Review Board is to provide high-level, cross-functional guidance on the assessment of COE and review periodically the capabilities of contingents, their major and minor equipment holdings and their SS capabilities needed to meet the operational requirements of the mission. The Review Board will review and provide Mission's inputs and recommendations to DPKO/DFS regarding COE policy issues, formation/amendment of Mission MOUs, and actions requiring attention of T/PCCs concerned, at UNHQ level.

### **C. ROLES AND RESPONSIBILITIES**

3. The Mission CMMRB is responsible for reviewing the Mission COE/MOU programme which includes but is not limited to the following:
  - 3.1. Oversee the implementation and management of the Mission COE Programme.
  - 3.2. Review the Mission's Quarterly COE Status Report. Assess contingent performance, analyse shortfalls and other deficiencies and recommend remedial actions.
  - 3.3. Assess the compliance of the contingents with respective MOU and ensure the Mission complies with its responsibilities under the terms of MOUs.
  - 3.4. Review mission specific requirements, standards and scales of issue for facilities, equipment and supplies associated with SS categories such as accommodation, communications, observation, etc.
  - 3.5. Ensure optimal utilization of military and civilian resources in support of the Mission, review and recommend cost-effective support solutions.
  - 3.6. Ensure adherence to the established COE verification and reporting procedures and review Mission SOPs to ensure conformity with the requirements of the COE Manual and the Guidelines for Field Verification and Control of COE and Management of MOU.
  - 3.7. Recommend amendments to MOUs resulting from changes in operational requirements and contingent performance including reinforcements, repatriation of surplus equipment, transfer of responsibilities for SS support, etc.
  - 3.8. 3.8. Recommend amendments to MOU to include items of ME deployed in lieu of different types of ME if such COE has similar capability/performance or meets the operational requirement.
  - 3.9. Periodically review, at least once every 3 years, Mission Factors for confirmation or recommendation for adjustments.

- 3.10. Review the requirement for EOD SS 18 months after deployment.
- 3.11. Resolve disputes with the contingent representatives on COE/MOU related issues that cannot be resolved at the working level.
- 3.12. Review the findings on whether absent or non-functional ME result for reasons beyond the control of the T/PCC.
- 3.13. Review, based on operational requirements within the mission, the status of armoured personnel carriers (tracked), armoured personnel carriers (wheeled), engineering vehicles, and support vehicles (military pattern), which are non-operable or for which continued maintenance is not economical in the mission area and meet the conditions set in the COE Manual for consideration for rotation. Make appropriate recommendations to UNHQ in this regard.

#### **D. COMPOSITION OF THE CMMRB**

4. It is recommended that the Mission CMMRB has the following composition, subject to adjustments as determined by Mission senior management:
  - 4.1. Chairperson: Director of Mission Support / Chief of Mission Support
  - 4.2. Deputy Chairperson(s): Deputy Force Commander (DFC) / Deputy Police Commissioner (DPC)
  - 4.3. Members:
    - Force HQ Chief of Staff (COS) / Chief Operations Officer (COO)
    - Formed Police Unit Coordinator
    - Chief, Supply Chain Management /Service Delivery
    - Chief Logistics Officer (Military and/or Police)
    - Chief, Mission Support Centre
    - Chief COE Unit will act as CMMRB Secretary
  - 4.4. On call as required:
    - Contingent Commander and/or Chief Logistics Officer (Military/Police)
    - Specialists from Administrative and Technical Sections

#### **E. PROCEDURES**

5. The CMMRB is required to convene on a quarterly basis preferably in alignment with the completion of the quarterly COE inspection and reporting cycles. The COE Status Report should be a permanent item on the agenda of quarterly CMMRB meetings hence the meetings to be held at the earliest opportunity following the finalisation of the Report. If it is not feasible to convene a regular CMMRB meeting at short notice, the missions may opt for an “e-CMMRB” procedure whereby the CMMRB agenda with the COE Quarterly Status Report are circulated electronically to the co-Chairs and members of the Board for review and comments. Minutes of the e-CMMRB should reflect the comments received and that the Report was noted by the Board.

6. The Minutes and recommendations of the CMMRB signed by the Chairperson and Deputy Chairpersons should be formally communicated by fax, signed jointly by the DMS/CMS and FC/PC, to the Military/Police Advisor/DPKO, the Director of Logistics Support Division/DFS and the Director of the Field Budget and Finance Division/DFS.
7. The Headquarters CMMRB (HQ CMMRB) meets at least on a quarterly basis to assess strategic, policy, operational and financial issues related to MOUs, reimbursement of T/PCCs, deployment and maintenance of operational effectiveness of formed military and police units. HQ CMMRB reviews mission CMMRB recommendations, proposals related to the application of the reimbursement framework, and major operational or policy issues of relevance affecting one or more missions, with a view to provide recommendations and advice to the relevant decision-maker/s in DPKO and/or DFS.

#### **F. REFERENCES AND RELATED PROCEDURES / GUIDELINES**

8. Manual on Policies and Procedures concerning the Reimbursement and Control of COE of Troop/Police Contributors Participating in Peacekeeping Missions, COE Manual, Edition 2017 – A/72/288
9. Memorandum of Understanding with Troop/Police Contributing Countries providing resources to the UN Mission.
10. DLSD Fax COE Verification Reporting: Recommendations of the Board of Auditors dated 04 March 2010.
11. GA Resolution 67/261—Section II Absent or non-functional ME, dated 06 June 2013 and associated Interim Technical Instructions issued 24 January 2014.
12. General Assembly resolutions 68/282 and 71/296 approving rotation of certain categories of COE at UN expense

**Annex B. GENERIC JOB DESCRIPTIONS OF COE UNIT PERSONNEL**

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**A. STAFF GENERIC FUNCTIONS****Chief, Contingent Owned Equipment Officer**

1. The Chief COE Officer/Chief COE Unit acts as the Mission COE Programme Manager and is accountable for the detailed implementation and management in the field of Memorandum of Understanding (MOU) between the United Nations and Troop/Police Contributing Countries (T/PCC). The principle functions are as follows:
  - 1.1. Planning, preparation and coordination of the COE Unit Inspection Programme of Arrival, Periodic, Operational Readiness, Repatriation and any other inspections necessary or required to verify by physical inspection that the T/PCC and the UN follow their agreed responsibilities; as detailed in the MOU.
  - 1.2. Initial approval and processing of Verification Reports raised as the result of inspections to senior mission management for mission approval and subsequent submission to UNHQ.
  - 1.3. Preparation of COE Quarterly Status Reports to identify and analyse COE deficiencies and/or surpluses and recommending corrective action to meet agreed MOU and/or Mission operational requirements, in consultation with the contingent commanders, and other appropriate mission and UNHQ staff.
  - 1.4. Serve as the Secretary of the Mission COE/MOU Management Review Board (CMMRB), prepare and organise CMMRB meetings.
  - 1.5. Prepare COE/MOU technical advice, briefings and training of formed unit personnel and other appropriate mission staff on all aspects of COE/MOU Management and implementation.
  - 1.6. Prepare mission specific policies, administrative instructions, procedures and guidelines, for the implementation and management of the Mission COE/MOU Programme.
  - 1.7. Prepare COE customized reports for use by MSD, FHQ and/or PHQ as required.
  - 1.8. Approve and coordinate the Unit training programme as required.
  - 1.9. Participate in Pre-Deployment Visits to T/PCC home countries; and other duties as required by mission DMS/CMS.

**Contingent Owned Equipment Operations Officer**

2. The COE Operations Officer is accountable directly to the Mission COE Programme Manager/Chief COE Unit for management of the day to day operational activities of the Mission COE Programme. Functions include:
  - 2.1. Assist the Mission COE Programme Manager with the administration of the COE Unit and coordinate daily operations.
  - 2.2. Coordinate the COE Unit Inspection Programme between COE Teams, Supporting MSD technical sections and contingents for Arrival, Periodic, Operational Readiness, Repatriation and any other inspections necessary or required of all military and police formed units deployed in the mission area.

- 2.3. Coordinate and review with COE Team Leaders the preparation of the Verification Reports and process them to the COE Programme Manager/Chief COE Unit for initial approval and processing.
- 2.4. Prepare analysis of identified deficiencies and/or surpluses of equipment and SS capabilities, in consultation with COE Team Leaders and contingent personnel in relation to MOU and mission operational requirements.
- 2.5. Review with COE Team Leaders the accuracy of inventories of COE held by contingents.
- 2.6. Prepare COE/MOU technical advice, briefings and training of formed unit personnel and other appropriate mission staff on all aspects of COE/MOU Management and implementation.
- 2.7. Assist with the development of mission specific policies, procedures, and guidelines for the implementation and management of the Mission COE Programme.
- 2.8. Assist the COE Programme Manager/Chief COE Unit in the preparation and organization of the COE/MOU Management Review Board (CMMRB).
- 2.9. Develop and coordinate with COE Team Leaders, as appropriate, the COE Unit Training Program as required.
- 2.10. The incumbent may perform other duties as required by the COE Programme Manager/Chief COE Unit.
- 2.11. Act as Liaison Officers between COE Unit, FHQ/PHQ and military/police contingents as required.
- 2.12. Assists, assess and advise COE Unit staff in military/police matters related to contingents.
- 2.13. Monitor the timely submission of Standard Operational Reporting by contingents.

### **COE Team Leader**

3. Under the supervision of the COE Programme Manager/Chief COE Unit the COE Team Leader performs the following functions:
  - 3.1. Manage the COE Inspection Team for which he/she is responsible ensuring appropriate use of resources.
  - 3.2. Prepare, conduct and coordinate the COE Inspection Program i.e. Arrival, Periodic, Operational Readiness, Repatriation and any other inspections necessary or required for all formed military and police units, for which he/she is responsible. Record inspection findings in the ECOE system.
  - 3.3. Prepare, in consultation with team members, the preparation of Verification Reports raised as the result of inspections and process them to Deputy Chief COE Unit for review and processing.
  - 3.4. Conduct analysis of verification reports and inspections to identify surplus or deficient equipment and SS capabilities in consultation with contingent personnel, as appropriate.
  - 3.5. Provide support, technical advice and briefings to contingent staff on all aspects of the Missions COE Programme.
  - 3.6. Assist with the development of mission specific policies, procedures, guidelines for implementation and management of MOU between the UN and T/PCC units.

- 3.7. Assist the COE Programme Manager/Chief COE Unit in the preparation and organization of the Mission's CMMRB.
- 3.8. Provide input for the development of COE Training Programs as required; and additional duties as required by the COE Programme Manager/Chief COE Unit.

#### **COE Inspector/Assistant**

4. Within a team, COE Inspectors/Assistants will be responsible for individual contingent units. Under the supervision of the COE Team Leader, the COE Inspector/Assistant, performs the following duties:
  - 4.1. Participate in Arrival, Periodic, Operational Readiness, Repatriation and other inspections of units to verify by physical inspection that the T/PCC and the UN follow their agreed responsibilities as detailed in the MOU.
  - 4.2. Prepare and raise ME and SS verification reports in the ECOE system, and process for eventual approval by the COE Programme Manager/Chief COE Unit.
  - 4.3. Maintain accurate contingent tables of organization and equipment (TOE) to include the organizational chart, tasks for which the unit has been organized, equipped and trained, unit's allocation of ME, SS responsibilities and staffing list.
  - 4.4. Maintain accurate records of ME and SS inspections records.
  - 4.5. Provide advice to contingent staff of formed units for which he/she is responsible on all COE/MOU related matters including recommendations as to how non-compliance with MOU may be rectified.
  - 4.6. Identify, in consultation with the COE Team Leader, any deficiencies and surpluses of equipment and SS capabilities compared to MOU and operational requirements and recommend corrective action.
  - 4.7. Additional duties as required by the COE Programme Manager/Chief COE Unit.

#### **COE Database Manager/Performance Analysis Assistant**

5. The COE Database Manager/ Performance Analysis Assistant performs the functions as indicated below:
  - 5.1. Maintain the ECOE System, and serve as focal point with the ECOE Help Desk and LSD/COE Unit on ECOE related matters and provide proactive feedback.
  - 5.2. Act as the COE Unit's focal point with Mission's CITS.
  - 5.3. Ensure data quality in the ECOE System, advise COE Unit staff on ECOE System operation; prepare and conduct ECOE System training for COE staff as part of the Unit training directed by Chief COE Unit.
  - 5.4. Produce standard and customized reports using ECOE data using Business Intelligence and electronic spreadsheets for MSD, FHQ and PHQ as required.
  - 5.5. Provide general administrative office support and day to day clerical support to the COE Unit.
  - 5.6. Distribute verification reports to relevant offices.
  - 5.7. Maintain documents related to COE staff such as Leave requests, Movement of Personnel, Claims, etc.



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- 5.8. Assist Chief COE Unit in the preparation of the Mission's CMMRB, and produce customized reports in support of the Mission's CMMRB.
- 5.9. Participate in COE inspections as appropriate.
- 5.10. Perform other duties as required by the COE Programme Manager/Chief COE Unit.
- 5.11. Establish and maintain archive files/records, maintain the office attendance records, and schedule meetings and monitor deadlines.
- 5.12. Collect, maintain and display the Annual Inspection Programme, and current Quarterly Inspection Program/Calendar.

## **Annex C. GUIDELINES FOR ARRIVAL INSPECTIONS**

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### **A. GENERAL**

1. Arrival Inspections are conducted:
  - 1.1. Within one month of arrival of newly deployed contingents for ME and within six months of arrival for SS. Contingents already deployed in the mission and are transferring or “re-hatting” from a regional peacekeeping operation to a UN mandated peacekeeping operation are subject to Arrival Inspection within one month of a date mutually agreed between the UN and the T/PCC concerned.
  - 1.2. Whenever an item of ME is deployed by a T/PCC to the mission after the arrival of the Unit.
2. The Arrival Inspection, for most newly deploying contingents, will likely be the first significant contact between the contingent unit authorities and the mission’s COE Unit staff. The joint planning and mutual pre-inspection briefings by the parties leading up to the inspection, and the actual conduct of the Arrival Inspection will therefore likely set the tone for future relations between the parties and impact positively or negatively on the success of future inspection activities. Every effort should therefore be made during the Arrival Inspection activities, by both parties, to promote mutual respect for the professional competence of each other, and to foster a culture of cooperation and trust.
3. The Arrival Inspection, for newly deploying contingent units, should follow the same basic procedures that are used for Operational Readiness Inspection and Periodic Inspection. However, COE Unit staff should anticipate the following issues which add to challenges of conducting Arrival Inspections:
  - 3.1. Many of the contingent staff, who will be closely involved in the COE inspection and verification process may have no or little previous experience of it, and will in any case be concerned primarily with establishing the unit in its deployment locations and commencing full operational activities as soon as possible. Some contingent staff may regard the inspection as a distracting administrative inconvenience.
  - 3.2. The Arrival Inspection involves the time consuming initial collection and recording of a large amount of detailed information on all the contingents ME, minor equipment and SS capabilities. This information will already be available for subsequent inspections.
  - 3.3. The COE inspection staff may be unfamiliar with the types and operating characteristics of the ME deployed, and how the contingent practically provides its SS capabilities. Detailed briefings and demonstrations may be required. The COE staff should be more familiar with the equipment and contingent capabilities during subsequent inspections.
  - 3.4. During the start-up phase of mission operations there is likely to be a shortage of qualified COE inspectors and other mission technical staff (engineering, transport, medical, supply, ammunition, ICTS etc.) available to conduct inspections. At the same time, contingents may be arriving in relatively rapid succession or already be deployed in the case of re-hatting.
  - 3.5. Mission COE inspection staff and contingent authorities may be unfamiliar with the constraints on air and road movement caused by local environmental conditions in new mission areas, leading to disruptions in the inspection process. Available air and road transport and material handling assets are also likely to be limited during start-up.

- 3.6. Units may initially deploy only to temporary locations and delay establishing their full SS capabilities. SS related equipment may remain stored in containers for some time.

## **B. ARRIVAL INSPECTIONS FOR MAJOR EQUIPMENT AND SELF-SUSTAINMENT**

4. The Arrival Inspection for ME and SS are to be conducted even if a signed or draft MOU is not available at the time of unit deployment. All ME items are subject to an Arrival Inspection.
5. Contingent authorities must provide a complete list of all their ME, using formats provided to them by the COE Unit which describe and categorize equipment in accordance with the equipment descriptions in Chapter 8 of the COE Manual. These lists are to be used as the initial basis to conduct the inspection. In some instances, equipment items will be subject to reclassification as per assessment of the COE inspector. Items not included in the MOU are to be included in the VR.
6. Other documents which may assist in the inspection are the applicable Statement of Unit Requirements (SUR) of military units, Force Requirements (FR) of police units, cargo load lists provided by the mission MOVCON Section, and the COE Manual. The exact date of arrival and details of the ME should be recorded in the Arrival Inspection VR and ECOE Database.
7. The Arrival Inspection for SS categories should be conducted as soon as possible after deployment and completed within six months of unit deployment even if a signed MOU or draft MOU is not available. The exact date of establishment of SS categories should be recorded in the Arrival Inspection (SS) VR and ECOE Database.

## **C. ARRIVAL INSPECTION FOR INITIAL PROVISIONING COMMODITIES**

8. In accordance with the mission specific T/PCC Guidelines, SUR, FR and additional guidance, T/PCC upon unit deployment, may be requested to provide contingent-owned commodities such as fresh food, composite ration packs, potable/bottled water and petrol oil and lubricants (POL) on a reimbursable basis as initial provisioning, until the UN supply chains in the mission are able to support the unit's requirements.
9. Normally, initial provisioning for units is required only for the initial deployment, and for a limited period (30-90 days). T/PCC are entitled to submit claims for reimbursement for the initial provisioning commodities they provide and accordingly all commodities provided for initial provisioning are to be verified by inspection. Verification and production of an inventory of these commodities specifying item description, type, quantity and date of expiration, where applicable, should be conducted as part of the Arrival Inspection. The inventory of initial provisioning commodities deployed, duly signed by the responsible Unit representative, COE inspector and/or Supply Section representative should be attached to the Arrival Inspection (SS) VR submitted to UNHQ.

## **D. ARRIVAL INSPECTION FOR AMMUNITION AND EXPLOSIVES**

10. T/PCC are entitled to submit claims for reimbursement for ammunition or explosives expended for operational purposes, used for specifically authorised training beyond accepted UN readiness standards, which becomes unserviceable or reaches its expiry date in the mission area, and for ammunition or explosives used with certain categories of ME weapon systems as detailed in the COE Manual. All ammunition and explosives deployed to a mission is therefore to be inspected and verified during the Arrival Inspection. An inventory of the ammunition and explosives held by the unit, specifying item description, type, quantity and date of expiration should be prepared. The inventory duly signed by the responsible unit representatives, COE

inspector, Supply Section representative and Ammunition Technical Officer should be attached to the Arrival Inspection (ME) VR submitted to UNHQ for further action.

11. The adequacy of the contingent's storage arrangements for ammunition and explosives should be assessed and reported in the VR.

#### **E. ARRIVAL INSPECTION – SOLDIERS/POLICE KIT AND PERSONAL WEAPONS**

12. An inspection of the individual soldiers/police kits as detailed in the MOU, and the personal weapons held by the contingent should be conducted as part of the Arrival Inspection process to verify that the individual kits are available and meet the requirements and the unit holds sufficient serviceable personal weapons for all authorised contingent personnel. Inventories detailing any deficiencies in individual kits or personal weapons, duly signed by the responsible contingent unit representative and COE staff should be attached to the Arrival Inspection (SS) VR submitted to UNHQ. T/PCC national regulations may prohibit the issue or carriage of personal weapons by some categories of contingent personnel, i.e. national civilian staff who form part of the contingent. Where sufficient personal weapons are not held for all contingent members as per Annex A of the MOU, this, and the reasons for it, should be noted in the personal weapons inventory.

**Annex D. GUIDELINES FOR OPERATIONAL READINESS INSPECTIONS**

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**A. GENERAL**

1. ORI are required to be conducted at least once every six months. All Personal Equipment, ME, and SS categories (including those SS categories provided by the UN) are to be inspected. ME is inspected to verify that the agreed quantities and types of equipment are present and that the equipment is serviceable and used appropriately. SS capabilities are inspected to ensure that they are in accordance with the standards specified in the COE Manual. The ORI includes an assessment of the capability of the contingent to conduct on-going maintenance of ME, and identifies any corrective actions that may be required to overcome shortfalls/deficiencies.
2. Generally, ORIs differ from regular Periodic Inspections in the frequency and scope. Periodic Inspections are conducted quarterly while ORI is conducted bi-annually. Scope of ORI is wide and conducted by teams comprising of COE Unit staff, specialists from MSD technical Sections, and FHQ/PHQ representatives. The scope of Periodic Inspections allows them to be conducted, when appropriate, solely by COE Staff inspectors.
3. Data collected during the Periodic Inspection and reported in the accompanying VR contributes analysis of the performance and compliance with MOU by the Contingent/Unit during the quarter. This analysis is to be conducted during the preparation of the mission Quarterly COE Status Report and submitted to the CMMRB.
4. ORI tasks include the following:

**Major Equipment**

- 4.1. Confirm the initial/previous classification of the equipment in categories and groups and verify that the agreed quantities and types as per MOU are available in serviceable condition and are being used for the operational requirement as intended.
- 4.2. Identify shortfalls/deficiencies and determine whether the absence or non-functionality of ME results from reasons beyond the control of the T/PCC.
- 4.3. Identify any additional ME equipment which may be required or has become surplus to operational requirements.
- 4.4. Verify that all associated minor equipment, consumables, and spare parts, are available for maintenance under the wet lease arrangement, and that suitably trained and qualified personnel are available to maintain and operate the equipment.

**Self-Sustainment**

- 4.5. Assess the standard of SS services provided by the contingent and confirm the standard is sufficient and satisfactory.
- 4.6. Verify that all minor equipment, spare parts, and consumables associated with maintenance of SS categories are available together with suitably trained and qualified personnel for maintenance and operation.
- 4.7. Assess the SS services which are being provided by the UN under the MOU and confirm that the standard is sufficient and satisfactory.

- 4.8. Assess overall SS arrangements and recommend changes in responsibilities if considered necessary.

#### **Personal Equipment**

- 4.9. Verify that agreed Personal Equipment consisting of clothing, gear and equipment are issued to all personnel in accordance with Annex A of the MOU.
- 4.10. Verify that personal weaponry and ammunition are present and in serviceable condition.

### **B. RESPONSIBILITIES**

#### **COE Programme Manager / Chief COE Unit**

5. Issue the ORI schedule in advance of the respective quarter.
6. Provide guidance to and coordinate as necessary with relevant MSD technical Sections, FHQ/, PHQ, Contingent/Unit, and COE Unit personnel on preparation and conduct of the ORI.
7. Support COE Team Leaders and COE Inspectors in preparation for, conduct of and follow-up with Contingents/Units in relation to the ORI.
8. Ensure submission of accurate verification reports for all Contingents/Units not later than 45 days following each quarter (30 days for Quarter Jul-Sep).

#### **COE Inspection Team Leader**

9. Responsible for management of all aspects of the ORI.
10. Organizes support from other COE Inspectors (civilian and military/police) of the COE Inspection Team.

#### **COE Administrative Assistant**

11. Prepare ORI documents as required.
12. Assist with preparation of administrative documentation in relation to ORI such as MOPs, Special Fight Requests, accommodation requirements and bookings, etc.
13. Maintain the ORI and VR logs.
14. Participate as necessary in inspections.

#### **ORI teams**

15. ORIs are to be conducted by teams comprising of COE Unit staff, specialists from MSD technical Sections and FHQ/PHQ representatives.
16. Members of the ORI Team are supported by Contingent-appointed Liaison Officers (e.g. Unit's Logistics Officer, Engineering Officer, Motor Transport Officer, Medical Officer, Quarter Master) to explain and/or demonstrate contingent/unit capabilities, as required.
17. A likely composition of the team is given below:

**Members (Military/Police Staff)**

- 17.1. Military/Police Operations Officer to review operational requirements and to inspect and assess operational performance as tasked in the FC/PC orders/instructions.
- 17.2. Communications Officer to inspect and assess the Contingents/Units communications related ME and 'Communications' SS capabilities.
- 17.3. Engineering Officer to inspect and assess engineering and de-mining equipment ME and capacities, inclusive of but not limited to engineering equipment, such as water treatment plants, engineering vehicles, electrical capabilities, minor engineering and EOD SS capabilities.
- 17.4. Ammunition Technical Officer to inspect and assess all natures of ammunition and explosives stocks held by Contingents/Units, including serviceability and storage arrangements.
- 17.5. Logistics Officer to inspect and assess the operational readiness of logistics related ME and SS capabilities.
- 17.6. Force Medical/Hygiene Officer to inspect and assess medically related ME such as medical facilities, equipment and supplies, ambulances and aeromedical teams and medically related SS capabilities.

**Members (Civilian Staff)**

- 17.7. Surface Transport representative to inspect vehicles/trailers, provide technical advice on the classification of vehicles and Contingent/Unit maintenance capabilities, and assess vehicle safety standards.
- 17.8. Chief Medical Officer Representative to inspect medically related ME medical facilities, equipment and supplies, aeromedical teams and medically related SS capabilities.
- 17.9. Engineering Section representative to inspect engineering plant, water purification sets, generators, engineering related SS categories and environmental enhancements to accommodation/tentage and renewable energy sources.
- 17.10. Property Control Inventory Unit (PCIU) representative to inspect UNOE issued to T/PCC units.
- 17.11. Environmental Officer to assess contingent/unit compliance with mission environmental and waste management policies and procedures, and provide advice, and where appropriate, limited on-the-spot training, to Contingent/Unit staff to assist them in comply with relevant environmental and waste management policies and procedures.
- 17.12. Members of CITS to provide expert advice on COE inspections on ICT capabilities.

**C. ORGANIZATION AND CONDUCT OF ORI**

18. The organization and conduct of ORI involves detailed planning and coordination between the military, police and civilian components. ORI should be organised and conducted in three phases as follows:
  - 18.1. Planning and preparation;
  - 18.2. Execution and debriefing;

- 18.3. Analysis of inspection results and verification reporting.
19. ORI is normally characterized by centralized/decentralized concurrent planning and decentralized execution.

#### **D. PLANNING AND PREPARATION**

20. Detailed planning and coordination of ORI is required to allow for proper and orderly preparation and to avoid conflict with other major events occurring in the mission such as scheduled elections, contingent rotations and national holidays in the long term, and major security operations, humanitarian operations, medal parades and the like in the mid to short term.
21. Annual Planning. The Annual Inspection Schedule encompassing all formed Units should be prepared by the COE Programme Manager/Chief COE Unit with tentative dates of ORIs for all units. Inspection dates must be coordinated to avoid clustering of inspections which may have negative impacts not only on the COE Unit but also on supporting components/sections/units, e.g. FHQ, PHQ and MSD technical sections.,
22. Quarterly Planning. The Quarterly Inspection Schedule/Calendar must be prepared by the COE Programme Manager/Chief COE Unit with confirmed ORI dates and coordinated with FHQ/PHQ and MSD technical sections, and the Units to be inspected.
23. Preparations prior to Operational Readiness Inspections. Units being inspected should prepare a briefing package for the ORI Team which should include:
- 23.1. List of ME holdings indicating item description, equipment category (as per COE Manual), chassis/serial number and primary physical location;
- 23.2. Unit organization chart;
- 23.3. Personnel strength report indicating number, and gender, of military/police contingent personnel per camp, including any military/police contingent personnel from other contingent/units who are also located in the camp and being provided with SS services by the Contingent/Unit being inspected;
- 23.4. List of personal weapons (type and serial number).
24. The COE ORI Team Leader may provide ORI worksheets for personal equipment, ME, and SS to the Contingent/Unit for necessary advance preparation. It is essential that the formed units' HQs coordinate the inspection program with sub-units so that sub-unit commanders and all personnel are aware of the timetables and that preparations are made to ensure that the inspections are conducted in a timely manner with minimum impact on unit operational activities. The COE ORI Team Leader shall:
- 24.1. Initiate the ORI standard inspection order a minimum of seven working days in advance to Contingent/Unit Commanders, relevant MSD technical sections and FHQ/PHQ staffs for necessary support, information and coordination.
- 24.2. Arrange co-ordination meetings with all ORI team members prior to the inspection to review the provisions of the MOU, discuss inspection activities and procedures, distribute and clarify in detail tasks and responsibilities within the Inspection Team.
25. A set of supporting documents for the Inspection may include:
- 25.1. Annexes A, B and C of the MOU;
- 25.2. Performance standards for PE, ME, and SS;



- 25.3. Inspection worksheets for PE, ME, and SS;
- 25.4. Data on previously identified shortfalls/deficiencies.
- 26. In addition, the COE ORI Team Leader must ensure that:
  - 26.1. All administrative arrangements and requirements for the ORI are completed (i.e. MOP, Special Flight Requests, accommodation bookings where required, etc.) for/by all inspection team members;
  - 26.2. Force protection/security escorts as necessary are provided in accordance with the mission security policies.

## **E. EXECUTION AND DEBRIEFING**

- 27. At the commencement of the ORI, the COE ORI Team Leader should introduce all members of the inspection team, providing an overview of each member's tasks and responsibilities, and provide the key Contingent/Unit key representatives with a briefing on the procedures that will be followed during the ORI.
- 28. The Contingent/Unit Commander or representative should provide a briefing to the ORI team on the Contingents/Unit's overall tasks and responsibilities and any outstanding issues related to personal equipment, ME, SS, and related issues pertaining to compliance with environmental and waste management policies and procedures.
- 29. The Contingent/Unit being inspected should ensure that the Logistics Officer, environmental focal point (where such a position was requested by the Force Commander or Police Commissioner) and/or other specialist personnel as required remain available to assist the inspection team during the ORI with the understanding that Contingent/Unit operational activities always have priority over COE inspections. Equipment that cannot be inspected for operational reasons will be inspected as soon as practically possible, after completion of essential operational activities.
- 30. Following these briefings, the COE ORI Team Leader will initiate and coordinate the ORI with the Unit's commanding office to conduct the inspection and verification of Personal Equipment, ME, and SS categories in accordance with the performance standards as defined in the COE Manual.

### **Personal Equipment**

- 31. The Unit should present its holding in terms of soldiers/police personal equipment at each location.

### **Major Equipment**

- 32. The Contingent/Unit should present all ME for inspection unless it is being utilized for operational activities. Keys for vehicles, storage and maintenance facilities must be available. Operators of vehicles, weapons and other equipment must be ready to demonstrate serviceability and function. Equipment chassis and serial numbers, as appropriate, must be readable.
- 33. The Inspection Team will inspect each item of equipment and verify the equipment category/group, description, chassis/serial number and where appropriate odometer/hours run readings and UN/national registration numbers and verify that the equipment is operational and in serviceable condition. The Inspection Team will also assess the Contingents/Unit's capability for on-going maintenance of ME under wet lease arrangements. All ancillary/minor equipment necessary for the operation of the ME item must be presented for inspection.

### **Self-Sustainment**

34. The Contingent/Unit will explain and demonstrate its capabilities in all applicable categories. The Inspection Team will verify performance standards, identify shortfalls/deficiencies and make an assessment for the whole category. The inspection team should also inspect and verify that SS services provided by the UN or another third party are being provided in accordance with the standards in the COE Manual and are sufficient and satisfactory.

### **Operational Readiness Assessment**

35. Normally, the overall assessment of the unit's operational readiness will be made by the FHQ/PHQ representatives on the ORI Team and may result in a separate report addressed to the Force Commander/Police Commissioner.

### **Inspection and Debriefing**

36. After the inspection the COE ORI Team Leader shall:
  - 36.1. Debrief the Contingent/Unit Commander and key representatives on the results of the ORI, highlighting any shortfalls/deficiencies and recommending corrective actions that may be considered to overcome them.
  - 36.2. Ensure completion of duly signed inspection worksheets and other supporting documents by appropriate inspection team members and contingent/Unit representatives.
  - 36.3. Provide an opportunity to Contingent/Unit Commanders and representatives to raise any other issues on COE and/or provision of support by the field mission for subsequent referral to MSD senior management.

### **F. SUBMISSION OF VR**

37. The results of the ORI are to be reported in the ME and SS ORI Verification Reports. In a reporting period during which ORI are conducted, it is not necessary to create and submit additional Periodic Verification Reports. An ORI Verification report covering the entire period is sufficient.

## Annex E. SAMPLE OF OPERATIONAL READINESS INSPECTION QUESTIONNAIRE (OPTIONAL)

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Contingent:	Unit:
Mission:	Date:

Read the questionnaire below and provide feedback where applicable. Additional sheets may be attached for your comments.

### A. Purpose

1. The purpose of this questionnaire is to assist the representatives from FHQ/UNPOL Operations Branch in assessing the operational capability of the unit; and providing recommendations where necessary. The representative should possess comprehensive knowledge of operations and plans.
2. This questionnaire also assists Chief COE Unit and mission representatives participating in the COE inspection to assess unit's performance standards for Personal Equipment, major equipment (ME) and self-sustainment (SS); and to identify surpluses and shortfalls in ME.
3. The completed questionnaire can be used as an Aide Memoir in preparing performance reports; and recommendations for the COE and MOU Management Review Board (CMMRB).

### B. Major Equipment

4. Are there any additional requirements for ME? YES/NO
  - 4.1. If yes, list such equipment per category and provide the following information per item:
    - Can the UN provide such equipment in a cost-efficient manner? YES/NO
    - Provide a full justification for such requirement.
5. Is there any equipment no longer required by the mission? YES/NO
  - 5.1. If yes, list such equipment per category and provide the following:
    - Is the equipment under wet or dry lease?
    - Justification for such withdrawal of equipment?
    - Can the equipment be adjusted within the Mission area with any other unit of the same Contingent?
    - Was the case reviewed by CMMRB? If so, what were the recommendations?
6. Is there any equipment which constantly presents shortfalls? YES/NO
  - 6.1. If yes, list such equipment per category and provide the following information per item:
    - Is the equipment under wet or dry lease?
    - What is the reason for equipment being absent/unserviceable?

- Was the shortfall 'beyond or not beyond the control' of T/PCC?
- If absent, has there been any 'in lieu' equipment deployed by the contingent? If so, what is the category and what actions have been initiated to amend MOU?
- If unserviceable, what is the reason of unserviceability and period for which the equipment is unserviceable?
- What action has been taken to address shortfall by Mission and Unit?
- What impact the shortfall has on the operational capability of the unit?
- If unserviceable, has the equipment been considered for rotation? If no, why?
- What is the latest position of the contingent/unit to address the shortfall?

### **C. Self Sustainment**

7. Are there any constant shortfalls/deficiencies in SS services provided by the UN?
  - 7.1. If yes, list by category and include the following information per item:
    - What is the nature of the shortfalls/deficiencies?
    - What corrective actions have been taken?
    - Should the services be provided instead by the contingent?
    - If accommodation, has there been any arrangement for affected troops? If so, mention details.
    - What actions suggested by the responsible Section?
    - Recommendations of the CMMRB?
8. Are there any constant shortfalls/deficiencies in SS for services provided by the Contingent?
  - 8.1. If yes, list by category and include the following information per item:
    - Description of the shortfalls/deficiencies.
    - What is the effect of the shortfall?
    - What corrective actions have been taken?
    - Should the services be provided instead by the UN?
    - What is the overall estimated cost of the deployment of related equipment?
    - What actions are being taken to address the shortfall by the Contingent?
    - What are the recommendations of the CMMRB?
9. Are there any categories, that although presenting no shortfalls/deficiencies by the contingent or the UN should be added, are no longer applicable or for which, responsibility should be reassigned to another party?
  - 9.1. If yes, include the following information per item (list by category):
    - What are the overall estimated cost implications of adding, discontinuing or reassigning responsibility for provision of the SS services?
    - Recommendations of the CMMRB?

**Annex F. GUIDELINES FOR PERIODIC INSPECTIONS AND SPOT CHECKS**

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**A. GENERAL**

1. Additional inspections such as Periodic Inspections and Spot Checks are conducted for COE verification. Periodic Inspections are carried on a quarterly basis in conformity with Verification Reporting Cycle outlined by UNHQ to assess the status of ME and SS categories. They constitute the source for creation of the Periodic Verification Report.
2. Spot Checks contribute to verification process by confirming status of ME and SS categories throughout the verification cycle. Spot Checks are random unscheduled inspections to investigate the status of any ME and SS categories. Periodic Inspections and Spot Checks will be linked with the status reported by Unit in the Monthly Standard Operational Report.
3. In addition, data collected during the Periodic Inspection/Spot Checks and reported in the accompanying VR contributes analysis of the performance and compliance with MOU by the Contingent/Unit during the quarter. This analysis is to be conducted during the preparation of the mission COE Quarterly Status Report and submitted to the CMMRB.
4. Periodic Inspections involve the following:

**Major Equipment**

5. Confirm the initial/previous classification of the equipment in categories and groups and verify that the agreed quantities and types as per MOU are available in serviceable condition and are being used for the operational requirement as intended.
6. Identify shortfalls/deficiencies and determine whether the absence or non-functionality of ME results from reasons beyond the control of the T/PCC.
7. Identify any additional ME equipment which may be required or has become surplus to operational requirements.
8. Verify that all associated minor equipment, consumables, and spare parts, are available for maintenance under the wet lease arrangement, and that suitably trained and qualified personnel are available to maintain and operate the equipment.

**Self-Sustainment**

9. Assess the standard of SS services provided by the contingent and confirm the standard is sufficient and satisfactory.
10. Verify that all minor equipment, spare parts, and consumables associated with maintenance of SS categories are available together with suitably trained and qualified personnel for maintenance and operation.
11. Assess the SS services which are being provided by the UN under the MOU and confirm that the standard is sufficient and satisfactory.
12. Assess overall SS arrangements and recommend changes in responsibilities if considered necessary.

**Personal Equipment**

13. Verify that agreed Personal Clothing, Gear and Equipment are issued to all personnel.
14. Verify that personal weaponry and ammunition are present and in serviceable condition.

**B. RESPONSIBILITIES****COE Programme Manager / Chief COE Unit**

15. Issue the COE Periodic Inspection schedule in advance of the respective quarter.
16. Provide guidance to conduct Periodic Inspections and Spot Checks as deemed necessary.
17. Provide guidance to and coordinate as necessary with relevant MSD technical section, FHQ, PHQ, Contingent/Unit, and COE Unit personnel on preparation and conduct of the Periodic Inspection.
18. Support COE Team Leaders and COE Inspectors in preparation for conduct of and follow-up with Contingents/Units in relation to the Periodic inspections.
19. Ensure submission of accurate verification reports for all Contingents/Units not later than 45 days following each quarter (30 days for Quarter Jul-Sep).

**COE Inspection Team Leader**

20. Responsible for management of all aspects of the COE Periodic Inspection and spot checks.
21. Organizes support from other COE Inspectors (civilian and military/police) from the COE Inspection Team.
22. Ensure accurate recording of all inspections in ECOE database for production of Quarterly Verification Reports.

**COE Administrative Assistant**

23. Prepare Periodic Inspection documentation as required.
24. Assist with preparation of all administrative documents related to the conduct of Periodic Inspections (MOPs, accommodation booking, etc.).
25. Assist in maintaining the record of Inspections and VR log.
26. Participate as necessary in Periodic Inspections.

**Composition of Periodic Inspection Teams**

27. COE Periodic inspections are to be conducted by teams of two or more inspectors depending on the size of the Contingent/Unit and staff available. Inspection Team should include specialists from MSD technical Sections and FHQ/PHQ. Members of the team are to be supported by Contingent appointed liaison officers to explain and demonstrate contingent capabilities as required, e.g. the Unit Logistics Officer, Engineering Officer, Motor Transport Officer, Medical Officer, Quarter Master; and other specialists as required.

**C. ORGANIZATION AND CONDUCT**

28. The organization and conduct of Periodic Inspections involves detailed planning and coordination between the military, police and civilian components of the Mission. Periodic Inspections involve three phases as follows:
  - 28.1. Planning and preparation
  - 28.2. Execution and debriefing
  - 28.3. Analysis of inspection results and verification reporting

**D. PLANNING AND PREPARATION**

29. Planning and coordination of Periodic Inspections is required to allow for proper and orderly preparation and to avoid conflict with other major events in the mission such as scheduled elections, contingent rotations, and national holidays in the long term, and major security operations, humanitarian operations, medal parades etc. in the mid/short term.

**Quarterly Planning**

30. Planning for Periodic Inspections should consider quarterly inspections requirement. The Quarterly Inspection Schedule must be prepared by COE Unit with confirmed Periodic Inspection dates and duly cleared and coordinated with the Contingent/Units to be inspected.

**Preparation prior to Periodic Inspections**

31. The Contingent/Units should prepare a briefing package for the COE Inspection Team that includes the following:
- 31.1. List of ME holdings indicating item description, equipment category (as per COE Manual), chassis/serial number, colour, and primary physical location.
  - 31.2. Unit organization chart.
  - 31.3. Personnel strength report indicating number of troops per camp.
  - 31.4. List of personal weapons (type and serial number) and ammunition holdings.
32. The COE Inspection Team Leader may distribute in advance the inspection worksheets for Personal Equipment, ME, and SS to the Contingent/Unit logistics officer for necessary preparation. It is essential that the formed Units' HQs coordinate the inspection program with sub-units so that sub-unit commanders and all personnel are aware of the timetables and that preparations are made to ensure that the inspections are conducted in a timely manner with minimum impact on unit operational activities.
33. The COE Inspection Team Leader shall:
- 33.1. Issue the Periodic Inspection Program to team members and to the Contingent/Unit to be inspected.
  - 33.2. Conduct planning and coordination meetings with Inspection Team Members to prepare for the inspection, assign inspection responsibilities, and clarify in detail the tasks and procedures to be followed during the inspections.
  - 33.3. Review relevant MOU and the latest Verification Reports on ME and SS.
34. A set of supporting documents for the inspection team should include, as necessary:
- 34.1. Annexes A, B and C from the MOU.
  - 34.2. Performance standards for PE, ME, and SS as per the MOU and COE Manual.
  - 34.3. List of ME in categories.
  - 34.4. Inspection worksheets for PE, ME, and SS
  - 34.5. Data on previously identified shortfalls/deficiencies.

35. The COE Inspection Team Leader must ensure that:
36. MOPs are completed in accordance with MOVCON Section instructions for all inspection team members.
37. When required, duly signed Special Flight Requests are completed aligned with MOVCON Section instructions for all inspection team members.
38. Force protection/security escorts as necessary are coordinated in accordance with latest security advisory.
39. Arrange for local transportation and accommodation as necessary.

#### **E. EXECUTION AND DEBRIEFING**

40. At the commencement of the inspection, the COE Inspection Team Leader should introduce all members of the inspection team and provide an overview of each member's tasks and responsibilities, and provide the key Contingent/Unit key representatives with a briefing on the procedures that will be followed during the inspection.
41. The Contingent/Unit Commander or representative should provide a briefing to the Inspection team on the unit's overall tasks and responsibilities and any outstanding issues related to personal equipment, ME and SS
42. The Contingent/Unit being inspected should ensure that the Logistics Officer and/or other specialist personnel as required remain available to assist the inspection team during the inspection with the proviso that contingent/unit operational activities always have priority over COE inspections. Equipment that cannot be inspected for operational reasons will be inspected as soon as practically possible, after completion of essential operational activities.
43. Personal Equipment, ME, and SS capabilities will be verified in accordance with the performance standards as defined in Chapter 3, Annexes A and B to the COE Manual 2017.

#### **Personal Equipment**

44. The Unit should present the soldiers' personal equipment at each location.

#### **Major Equipment ME**

45. The Contingent/Unit should present all ME for inspection unless it is being utilized for operational activity. Keys for vehicles, storage and maintenance facilities must be available. Operators of vehicles, weapons and other equipment must be ready to demonstrate serviceability and function. Equipment chassis and serial numbers, as appropriate must be readable.
46. The Inspection Team will inspect each item of equipment and verify the equipment category/group, description, chassis/serial number and where appropriate odometer/hours run readings, UN/national registration numbers and verify that the equipment is operational and in serviceable condition. Serviceability of the equipment reflected in the Monthly Standard Operational Report will be verified. The Inspection Team will also assess the Contingent's/Unit's capability for on-going maintenance of ME under wet lease arrangements. All ancillary/minor equipment necessary for the operation of the ME item must be presented for inspection.

#### **Self-Sustainment**

47. The contingent will explain and demonstrate its capabilities in all applicable categories. The Inspection Team will verify performance standards, identify shortfalls/deficiencies and make an



assessment for the whole category. The inspection team should also inspect and verify that SS services provided by the UN or another third party are being provided in accordance with the standards in the COE Manual and are sufficient and satisfactory.

### **Inspection Debriefing meeting**

48. After the inspection the COE Inspection Team Leader shall:
  - 48.1. Debrief the Contingent/Unit Commander and key representatives on the results of the inspection, highlighting any shortfalls/deficiencies and recommending corrective actions that may be considered to overcome them.
  - 48.2. Ensure completion of duly signed inspection worksheets and other supporting documents by appropriate inspection team members and contingent/Unit representatives.
  - 48.3. Provide an opportunity to Contingent/Unit Commanders and representatives to raise any other issues on COE and/or provision of support by the field mission for subsequent referral to MSD senior management.

### **F. SUBMISSION OF VERIFICATION REPORT**

49. The results of all Periodic Inspections and Spot Checks conducted during a quarterly inspection cycle are to be incorporated into the ME and SS Verification Reports for that quarter and submitted to MCMS/FBFD/DFS in accordance with the reporting schedule.

**Annex G. TEMPLATE OF STANDARD OPERATIONAL REPORTING****A. INSTRUCTIONS**

<b>Monthly Standard Operational Reporting Form</b>	
The two forms attached below provide contingent personnel with a standard means of reporting on the serviceability status of ME and SS. They should be completed and submitted to the COE Unit monthly within 5 working days of the following month. This information is required in support of the COE MOU Verification Reporting Process. See instructions below concerning how to enter data into each form.	

<b>Monthly Major Equipment Self Reporting</b>		
Serviceability status of ME should be included in this report. Items previously reported as Unserviceable or Serviceable should only be included here if their serviceability status has changed.		
<b>SRL</b>	<b>Column Name</b>	<b>Instruction</b>
1.	Item Generic Description	Enter the Generic Description of the Item as per the MOU, e.g., Truck Utility Cargo, 6-10 Tons, Commercial Pattern
2.	Serviceable	Enter the equipment status (YES or NO) as of the Last Day of the reporting period.
3.	Date From	Start Date of equipment unserviceability. This date can be from a previous month, if the Date To is within this month.
4.	Date To	End Date of equipment unserviceability. This date can be blank if the item remains unserviceable at the end of the reporting period.
5.	Days Unserviceable	Number of days from Date From to Date To (e.g., 25)
6.	Remarks	Enter the reason for unserviceability and note if this is for a reason beyond the control of the T/PCC (e.g., Fuel Tank leak; not fault of TCC on account of hostile action.)

<b>Monthly Self Sustainment Self Reporting</b>	
Only SS Categories which have had changes impacting the requirements for SS as per the COE Manual should be recorded here.	
Units must inform the mission immediately if the T/PCC cannot adequately supply medical equipment, drugs, or consumables.	

**B. MAJOR EQUIPMENT SELF REPORTING FORM**

<b>Contingent:</b>	
<b>Unit:</b>	
<b>Primary Location:</b>	
<b>Month/Year :</b>	

**MONTHLY MAJOR EQUIPMENT SELF-REPORTING**

<b>Verified By :</b>	
<b>Date:</b>	
<b>Approved By :</b>	
<b>Signature:</b>	

Srl	UN Plate Number	Nat Plate #	Chassis /Serial #	Item Generic Description (1)	Odometer Reading		Fuel Type	Equipment Serviceability Status				Remarks (6)
					Start	End		Service-able (2)	Date From (3)	Date To (4)	Days Unservice-able (5)	

**C. SELF-SUSTAINMENT SELF REPORTING FORM**

<b>Month/Year:</b>			<b>Verified By :</b>
<b>Contingent:</b>			<b>Date:</b>
<b>Unit:</b>			<b>Approved By :</b>
<b>Primary Location:</b>			<b>Signature :</b>
<b>SS Category</b>	<b>Resp. CC/UN</b>	<b>Acceptable Y/N</b>	<b>Remarks</b>
Catering			
VHF/UHF-FM			
HF			
Telephone			
Office			
Electrical			
Minor engineering			
Explosive Ordnance disposal			
Laundry			
Cleaning			
Tentage			
Accommodation			
Basic firefighting			
Fire detection and alarm			
<b>Medical</b>			
Basic			
Level 1			
Level 2 (including dental and lab)			
Level 3 (including dental and lab)			
Level 2 and 3 combined (including dental and lab)			
High-risk areas (epidemiological)			
Blood and blood products			
Laboratory only			
Dental only			
Observation			
Night Observation			
Positioning			
Identification			
Field Defense Stores			
Bedding			
Furniture			
Welfare			
Internet access			

## Annex H. GUIDELINES FOR REPATRIATION INSPECTIONS

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### A. GENERAL

1. Repatriation Inspections are to account for and verify all ME to be repatriated with the departure of a formed military / police unit; and ensure that no UNOE is part of the equipment repatriated. Repatriation of a military/police formed unit is a complex process that involves multiple mission entities. It is important to understand the role played by each entity in the repatriation process.

### B. ROLE OF SECTIONS

2. **Mission Support Centre (MSC)** is responsible for coordination of the planning for the repatriation of the cargo and personnel of the Contingent/Unit. MSC issues instructions, conducts coordination meetings with representatives from the Contingent/Unit, FHQ/PHQ elements, MSD Asset Managers, the COE Unit, MOVCON, PCIU, and other entities.
3. **Asset Managers** ensure that all UNOE issued to the Contingent/Unit being repatriated is returned and the receipt for returned items of UNOE is documented.
4. **Property Control Inventory Unit (PCIU)** monitors the return of UNOE to Asset Managers and normally sends their representative at the time of sealing of shipping containers.
5. **MOVCON** provides the Contingent/Unit with the format of a Cargo Loading List assists the Contingent/Unit in moving the cargo from unit locations to a cargo staging area/container yard if required, coordinates the movement, and processes cargo and personnel clearance departing by ship, air or land. The sealing of containers is conducted in the presence of MOVCON representatives.
6. **Repatriating Contingent/Unit** acts in accordance with the instructions issued by the MSC and MOVCON. It returns all the UNOE to respective Asset Managers and provides the 'Loading List' and 'Passenger Manifest' to MOVCON. Depending on arrangements with MOVCON, may pack and move cargo to the staging area, move vehicles to the ship, secure cargo up to the time it is loaded for transportation.
7. **Property Disposal Unit** acts in accordance with the Mission established practise to assist in the disposal of the subject equipment as authorised by the concerned country.
8. In addition, the Contingent/Unit will provide in writing any equipment which was cannibalised or written off during the deployment. Where required, a letter should be obtained from the Contingent/Unit Commander with the following comments: "*No claim will be addressed by the {T/PCC} to the UN requesting compensation for written off or cannibalized COE.*"

### C. ROLE OF THE COE UNIT

9. The COE unit is responsible for the following:
  - 9.1. Attend coordination meetings arranged by the MSC;
  - 9.2. Brief the Contingent/Unit personnel on COE repatriation inspection procedures;
  - 9.3. Assist the Asset Managers, Contingent/Unit personnel, Movcon and other entities in relation to the return of UNOE and preparation of Cargo Load Lists;
  - 9.4. Analyse the cargo load lists to ensure all COE equipment has been included and take note of the equipment that has been written off, cannibalized, or is over and above that authorised in the MOU (a Contingent/Unit can repatriate 10 percent additional vehicles and other ME authorised in the MOU at UN cost). Where the T/PCC has deployed

equipment in excess to the authorized MOU this is to be recorded in the Repatriation Verification Report;

- 9.5. Review the justification of the number of shipping containers requested by the Contingent/Unit and advise MOVCON accordingly;
- 9.6. Advise Movcon and MSC on the road-worthiness of Contingent Unit vehicles and any assistance required by the Contingent/Unit for the movement of COE to the staging area if necessary;
- 9.7. Accompany representatives from Asset Managers, Movcon and PCIU during the sealing of shipping containers;
- 9.8. Conduct repatriation inspections of all COE ME. Record all damages to and condition of the equipment, including pictures, where necessary. Record the last odometer readings. Record whether ME is serviceable or not and, if not, from which date and if the non-serviceability resulted from reasons beyond the control of the T/PCC. Ensure all the equipment presented for repatriation is COE and not UNOE;
- 9.9. Receive and maintain contingent records concerning equipment disposed, lost, or written off in the mission area.
- 9.10. Request from MOVCON actual dates of repatriation of Contingent/Unit equipment repatriation;
- 9.11. Prepare a Repatriation Verification Report to include date of cessation of operations, date(s) of repatriation of personnel and date of repatriation of ME. Inform status of Repatriation VR and associated issues to UNHQ/COE Unit and UNHQ/FBFD/MCMS.

#### **Exchange of COE with another Unit**

10. In some instances, equipment from the repatriating Unit may be transferred to another Unit of the same Contingent which is remaining in the mission. Dates of such exchange of equipment must be clearly documented by the COE Unit and recorded in Verification Reports for the receiving Unit.

#### **Repatriation Verification Report**

11. The COE Unit should create a Repatriation VR only once and upon the final withdrawal/repatriation of all the Contingents/Units COE from the mission area. Any COE item or collection of items being repatriated during a Contingent's/Unit's deployment in the mission area should be reflected in Periodic VR covering the period when such repatriation occurred.

#### **D. ADDITIONAL ISSUES**

12. During the repatriation of Contingents/Units, and especially in the liquidation phase of a mission, the following additional issues may arise:
  - 12.1. In liquidating missions, there may be many units ceasing operations simultaneously. Inspectors may be few and require extensive and intensive travel to inspect multiple locations;
  - 12.2. The schedule for movement of COE from camp to departure area is often uncertain. The COE Unit representatives may not be present when the movement contractor picks up COE at the base camp;
  - 12.3. Normally, most of the Contingent's/Unit's personnel (the main body) will repatriate shortly after the Contingent's/Unit's cease of operations date and Contingent/Unit will

generally leave behind a Rear Party to secure the COE until it is handed over to MOVCON and/or the Movement Contractor;

- 12.4. Physical COE verification may continue to take place as long as COE remains within designated camp. Once the Contingent/Unit COE is picked up from bases/camps, the COE Unit will no longer have access to the equipment. COE Unit must submit periodic verification reports based on the last validated inspection.

**Annex I. SAMPLE OF A COE INSPECTION CALENDAR**

COE INSPECTION CALENDAR # 1  
 PERIOD: 1ST QUARTER 2015  
 SECTOR/REGION:

				January										
				Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	
Ser	TCC/PCC	Unit	Location	7	8	9	10	11	12	13	14	15	16	Remarks
1														DFS
2														
3														
4														SFR # 007/2015
5														
6														DFS 2 Hour
7														DFS return to duty station

Team composition	Full Name	Cell	Call sign
Team Leader:			
COE Assistant:			
PCIU:			
Transport Section:			
Engineering Section:			
FHQ:			
Other...			

Notes:

DFS: Daily flight schedule  
 SFR: Special flight request  
 All movements by road to team sites require Force Protection to be organized by TCC.  
 This calendar should be issued to TCC/PCC units and all COE Inspection team members.  
 TCC/PCC points of contact and extension number.  
 Other notes as required.

Date:

Approved by:



## Annex J. INSTRUCTIONS FOR INSPECTING MAJOR EQUIPMENT AND SELF-SUSTAINMENT CAPABILITIES

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### A. GENERAL

1. ME and SS capabilities will be verified in accordance with the performance standards for ME and SS as defined in Chapter 3, Annexes A and B of the COE Manual and respective MOU. This instruction clarifies certain areas for conducting COE inspections.
2. In the conduct of the inspection, a “reasonability” view is to be employed when assessing the yielded results, including whether positive steps have been taken towards fulfilment of the MOU. The guiding principle in determining “reasonability” is whether the material to be provided by the contingent or the United Nations will meet its function at no additional cost to either party other than those provided for in the MOU.
3. **Automated Elements.** With the introduction of ECOE Mobile to most field missions, most of the collection of ME and SS inspection data will take place on-site via tablets running the ECOE Mobile application. For ME, ECOE Mobile mandates collection of certain equipment attributes, such as the equipment Category, Sub-category, and Generic Description as per the COE Manual. Further, when recording new unserviceability, the Unserviceable reason and dates of unserviceability are also required. For SS, ECOE Mobile requires Verification of inspection criteria for each SS line item. SS inspection criteria is taken from the COE Manual.
4. As COE data collection requirements change and evolve, data entry requirements in ECOE Mobile will also change. Updates concerning ECOE Mobile are issued periodically from OICT and are available on the ECOE Unite Connect Community and on iSeek. For more information, see Annex R on ECOE.

### B. INSPECTION OF MAJOR EQUIPMENT

5. For ME, the Inspection Team will verify item by item equipment category/group, item description, chassis/serial number, UN/national registration number and that the equipment is operational and in serviceable condition. The Inspection Team will assess the unit’s capability for maintenance of ME under wet lease arrangement. All ancillary equipment necessary for the operation of ME is to be presented for inspection. The unit representative must explain arrangements for re-supply of minor equipment, spare-parts and consumables. Specific instructions for inspection of ME are as following:

#### Vehicles

6. Standards for arrangement of COE vehicles (including Trailers) for inspection are as follows:
  - 6.1. Vehicles should be lined up by types and categories, with drivers present;
  - 6.2. Vehicle make and model (e.g., Toyota Helix) must be recorded;
  - 6.3. If a storage or utility vehicle, specific capacity should be recorded (Litres, Tons, etc);
  - 6.4. In cases of engineering, construction, or other specialized vehicles, a qualified operator should be present to demonstrate equipment serviceability and Unit capability to operate. The absence of an operator should be reflected in the VR remarks, including the period of absence.
  - 6.5. Ancillary equipment such as wheel changing tools and first aid kit should be placed on the ground in front of each vehicle;

- 6.6. Vehicles that may be required for essential tasking will be inspected first and released as soon as possible, alternatively inspected shortly before or shortly after the main inspection;
- 6.7. Spare wheels must be available for inspection;
- 6.8. Engine and chassis numbers must be clean and visible for inspection;
- 6.9. Vehicles and trailers must be painted with United Nations markings. No national markings or flags to be displayed;
- 6.10. Vehicle documentation such as Log Books and Trip Tickets should be made available for reference purposes;
- 6.11. Odometer readings will be checked and recorded against reading reported in Monthly Operational Report. Any vehicles without working odometers will still be classified as operational with a clarifying remark in the VR;
- 6.12. Unsafe vehicles endanger the life of personnel and jeopardize the effectiveness of a mission. Vehicles rendered unsafe by Chief Transportation Officer (CTO) should be declared as unserviceable. Inspection of vehicles shall include an equipment safety inspection as determined by Mission.

### **Accommodation Equipment**

7. The 2017 WG established minimum standards for Accommodation equipment, and no longer considers the type of accommodation (permanent, rigid, or semi-rigid). The standard includes minimum requirements for structural framework, exterior, substructure, insulation, ventilation, power, lighting, air conditioning, etc. The details of standards are captured in Annex A of Chapter 3 of the 2017 COE Manual.

### **Armaments**

8. Weapons should be displayed by type with ancillary equipment such as sights, magazines, base plates, spare barrels, calibration kit, and tool kits. Designated crew should be present during inspection. In case, armaments are in boxes or stored in storehouses having poor lighting arrangement or insufficient space; should be displayed outside. Armaments issued at Company level and below (crew served machine guns) should be grouped at each sub-unit HQ for inspection when security situation permits. Inspection of armaments should include the following:
  - 8.1. Unit personnel must be able to demonstrate suitable use of armament;
  - 8.2. Specific weapon calibre should be recorded;
  - 8.3. Inspector must ensure that the Unit holds suitable and sufficient ammunition for armament. Armament without suitable ammunition or trained personnel is declared non-serviceable until ammunition and/or personnel are made available;
  - 8.4. When possible, particularly during Operational Readiness Inspection, the UN Ammunition Technical Officer should be present as a member of the COE Inspection Team. Advice of Force ATO on care, handling, storage and condition on ammunition should be followed up during periodic inspection.

### **Generators**

9. Military/Police units normally deploy with generators to meet their own power requirements. Generators should be deployed in pairs to run on rotation, except for small sub-units and check points where one generator may be acceptable, or locations where grid supply is available most

of the time. COE generators may be replaced by UNOE as the main source of power supply, but should remain available for use, either as back up or as stand-by for redeployments in the mission. These remain subject to inspection.

10. The 2017 Working Group introduced a new system of identifying distinct functions of power generation, based on the International Standards Organization 8528 (ISO 8528). T/PCCs have the option of deploying generators based on the power ratings/roles contained in the ISO 8528 standard, namely (1) prime power, (2) limited-time running and (3) standby. The deployment of generators under ISO 8528 must be part of an agreed and auditable energy transition plan. New types of generators included in the 2017 COE Manual are diesel/renewable hybrid, and renewable energy (photovoltaic). These new categories supplement and do not replace the existing categories. T/PCCs could opt to continue to deploy generators under existing arrangements.
11. To incentivize the deployment of renewable power equipment, T/PCCs which generate at least 10 per cent of their total energy requirements from renewable energy sources would receive a supplemental payment equivalent to 5 per cent of the maximum possible reimbursement for in the Electrical category in the MOU. A contingent move to ISO 8528 standards or deployment of new types of power generation equipment should be reported accordingly in the COE verification reports. The MOU amendments, if applicable, will be then be discussed. Inspectors should refer to United Nations Environment Programme (UNEP) guidance documents, once available, for more information.
12. Inspection of generators should include the following:
  - 12.1. Verification of power generation equipment through Engineering experts duly included in the inspection team;
  - 12.2. Serviceability, output (in KVA units), earthing, circuits, and junction box connections as well as proper protection against soil and water pollution. Log books should be made available for reference purposes. Specific KVA output per generator should be recorded;
  - 12.3. Meter readings will be checked and noted. Generators with non-serviceable meters will be declared serviceable with a clarifying remark in the VR.

### **Medical Equipment**

13. Medical ME will be inspected by the Force Medical Officer Representative during the medical SS assessment. The Medical equipment in the COE Manual should be provided to the Force Medical Officer in advance of the inspection. Accommodation/Tentage for medical facilities, and ambulances and other vehicles dedicated to the transport of patients, medical staff, and/or medical supplies and consumables should be clearly marked with a symbol placing it under the protection of the Geneva Convention.

### **Engineering Equipment**

14. Contingent-owned engineering equipment and plants will be inspected by an Engineering Section specialist who should be part of the inspection team. Any equipment out on operational tasking can be checked in situ. As with vehicles, the operator of the specialist equipment should be available to demonstrate its capability and serviceability including compliance with environmental and waste management policies and procedures.

### **C. INSPECTION OF SS**

15. Field missions are to follow the SS standards stipulated in the COE Manual and in the Guidelines below while applying the principle of reasonability. The principle of reasonability

within the SS verification process allows for special reimbursement in “exceptional cases” when a category of SS only partially meets applicable standards.

16. The field missions are to provide the reason in the SS verification reports whenever a category does not meet the standards for reimbursement. This information will be used for any negotiations between MCMS and T/PCC for requests of consideration under “exceptional cases”.
17. During the SS inspection, the contingent will explain and demonstrate its capability in all applicable categories. The Inspection Team will verify applying performance standards, identify shortfalls and make an assessment for the whole category based on the principle of “reasonability”. Inspectors should likewise assess standard of services provided by the mission for those categories that are the responsibility of the United Nations, and indicate observations in the VRs.

### **Catering**

18. The Unit should be able to demonstrate operational field cooking facilities. The COE Inspector should bear in mind the typical culture of food and cooking requirement of different countries. The facilities should be evaluated based on availability, adequacy and hygienic consideration. This will include cooking stoves, kitchen utensils, dish washing facilities, food waste disposal arrangements, dry and cold storage capabilities, insect proofing (including mosquito and fly protection) and rodent control measures, and concrete flooring. The inspecting Medical Officer/Force Hygiene Officer will assess hygiene standards, in coordination with the Environmental Officer assessing environmental aspects.

### **Communications**

19. Each formed unit's Communication Officer should present a copy of the Unit Communications Plan along with the list of TCC and UN provided communication equipment at each location. The unit shall demonstrate serviceability of all the communication equipment, ancillaries and spare batteries, as well as arrangements for proper disposal. Radio sets mounted on vehicles will be inspected in situ. Other than verifying the communication plan and the serviceability of equipment, the inspection team will confirm the following:
  - 19.1. Authorized strength at the locations served with contingent-provided telephone facilities;
  - 19.2. Authorized strength of the sub-units or sub-elements in tactical or mobile operations that are served by HF being beyond the range of VHF/UHF and are not communicating via VHF/UHF or telephone;
  - 19.3. Number of personnel supported by Telephone, VHF/UHF-FM and HF to be reported in the remarks field in the VR;
  - 19.4. United Nations Owned Equipment (UNOE) is issued for communication to mission components, neighbouring units, and for integrated operations (UNPOL, CIVPOL, Regional Officer, etc.) in accordance with a CITS standard for issuance of UNOE communications equipment based on operational requirements. This equipment is only for external communications and is not to assist the unit to meet its SS requirements.

### **Office**

20. The Verification Team will visit HQ and sub-unit offices to confirm holdings of office equipment, furniture, stationary supplies, photocopy machines and information technology capabilities to include computers, printers and necessary software as well as arrangements for proper disposal. The unit may have been issued UN-owned IT equipment (PCs, software, printer, telefax) to facilitate communication with mission headquarters (regional, military, etc.). This

equipment is only for external communications and is not considered when inspecting the unit SS requirements for Internet and Welfare.

### **Electrical**

21. The unit will demonstrate its capability to provide power supply to small troop camps for company, platoon or section level as well as emergency power back up for important facilities in the base camp such as the communication centre, operation or duty room, refrigeration facilities, office, etc. Emergency power must be supplied from generators other than those provided for main power supply. The inspection team will also inspect electrical wiring, switches, lighting sets and required electrical stores.

### **Minor Engineering**

22. Each formed unit should confirm holdings of construction tools, supplies and workshop equipment and be able to demonstrate the ability to carry out minor construction works, electrical repairs, repairs to plumbing and water systems, minor maintenance and repair work in compliance with environmental and waste management policies and procedures. It is recommended that the COE inspector and the mission engineer responsible for the given unit under inspection carefully coordinate responsibilities concerning engineering tasks. This is to ensure that engineering tasks are performed by the responsible party as per the MOU. The Unit should develop its own plan for minor construction works to avoid soliciting assistance from the Engineering Section related to minor repairs. Inspection of Minor Engineering should be conducted by a representative from Engineering Section during ORI, or whenever required, in coordination with the Environmental Officer assessing environmental aspects.

### **Explosive Ordnance Disposal (EOD)**

23. The EOD SS is limited to the Unit's capability to secure its accommodation area against UXOs. A Unit deployed at various locations can store its EOD equipment at a central location such as the Battalion Headquarters. The contingent should be referred to the mission's Senior Ammunition Technical Officer for guidance on storage of EOD equipment, explosives and detonators. The Unit shall present the list of demolition stores and demonstrate its capability (equipment, consumables, and personnel) to:
  - 23.1. Locate UXOs using Mine/Explosive detectors;
  - 23.2. Dismantle or destroy ordnance using explosives, demolition kits and other equipment including primers, cortex, and battery;
  - 23.3. Provide necessary protection to EOD personnel using personal protective clothing such as bomb suits. Helmet and fragmentation vest in lieu of a bomb suit is not acceptable.

### **Laundry**

24. It is important to note that there is no explicit requirement for powered washers and dryers, if the laundry standard outlined in the COE Manual is met. It is not considered satisfactory for contingent personnel to do their laundry in the ablution facility. A separate facility and supplies are required for SS in this category.

### **Cleaning**

25. The unit should confirm arrangements they have in hand for this category, which includes the provision of cleaning materials for living and working accommodation.

## Tentage

26. The Logistics Officer will demonstrate the formed Unit's ability to provide the necessary tented accommodation for personnel, offices and workshops including flooring and heating/cooling arrangements. The inspection team will verify the number of personnel living in contingent-provided tentage and in UN-provided tentage. Ablutions provided by the TCC are entitled to a reimbursement for ME. However, reimbursement for TCC-provided chemical toilets under rental arrangement requires approval by MCMS prior to establishment. If the Unit is housed in accommodation, however remains responsible for Tentage as per the MOU, the latter should be inspected for serviceability.
27. As per changes to the COE Manual resulting from the 2017 WG, the T/PCC may be eligible to receive an additional 5 percent to the reimbursement for Tentage (both ME and SS) if the provided tentage is shown to have additional measures included which are designed to improve the heating and cooling effectiveness and efficiency of the facility. Details concerning these measures are listed in Annex B to Chapter 3 of the COE Manual.

## Accommodation

28. This category includes prefabricated containers/modules or other type of living, office and workshop accommodation, ablution facilities, and furniture for dining and welfare facilities. The Unit's Logistic Officer will demonstrate that the living accommodation provides sufficient space and appropriate segregation of males and females based on national policies.
29. Accommodation should meet the minimum standards described in paragraph 7 above and include adequate power and lighting systems and heating, ventilation, and air-conditioning system appropriate to the environmental conditions and for the intended occupancy. The type of accommodation suitable for reimbursement may range from high quality tensioned membrane facilities to prefabricated buildings to normally constructed facilities. The inspection team will verify the number of personnel living in T/PCC or UN provided accommodation or in existing buildings and ascertain whether the accommodation is up to UN standards including environmental and waste management policies and procedures. This information is to be reported in the VR and on the Quarterly COE Status Report.
30. As per changes to the COE Manual resulting from the 2017 WG, the T/PCC may be eligible to receive an additional 5 percent to the reimbursement for accommodation if the provided accommodation, including warehouses and equipment storage, is shown to have additional measures included which are designed to improve the heating and cooling effectiveness and efficiency of the facility. Details concerning these measures are listed in Annex A and B to Chapter 3 of the COE Manual.

## Basic Firefighting

31. Unit should be able to demonstrate availability of sufficient basic firefighting equipment, i.e., buckets, beaters and fire extinguishers, in accordance with the International Fire Code. Arrangement of replenishing necessary minor equipment and consumables should be evaluated.

## Medical

32. The inspection of medical facilities will be conducted by the FMO/CMO or his deputy. The Unit's Medical Officer will demonstrate its ability to provide the medical facilities as specified in Annex C of the MOU.
  - 32.1. **Basic Medical.** The unit personnel will lay out the basic first-aid kit, as listed in the Appendix 1.1, Annex A and B of chapter 3 of the COE Manual. At least one such first-aid kit should be available in each vehicle, all workshop/maintenance facilities and in

kitchens. The inspector will also ascertain that all non-medical personnel are trained to give first-aid on buddy system to include: cardio pulmonary resuscitation, haemorrhage control, fracture immobilization and wound dressing.

- 32.2. **High Risk Areas (Epidemiological).** The inspection team will check provision of chemoprophylaxis and other medical supplies and consumables for the prevention of endemic infectious disease. Measures against rodent control fall under the SS category of catering.
- 32.3. **Basic Gynaecology Capability - Level 2 Hospitals.** Inspect and report based on COE Manual 2017, Chapter 3, annexes A and B, appendix 9, whether a qualified Gynaecologist has been provided. Female dependency on TCC Level 2 Hospitals (SS) to be reported in line with the guidelines issued from UNHQ. All medical waste, including expired drugs, should be properly stored and disposed of.
- 32.4. **Medical Levels 1, 2 and 3.** FMO/CMO representative will conduct the inspection based on the standards in the COE Manual. The recommended scale of medical personnel for the Level 1 of a standard infantry battalion is two medical doctors and six medics/nurses. This allows the Unit to split into two forward operating medical teams, each with a doctor and up to three medics/nurses. For smaller units, the COE Inspector will ascertain that the number of medical personnel in the unit meets the operational requirements based on specific guidance from CMO and FMO. The Inspector will also confirm if the Unit is providing any medical services to other military/police personnel, and if so it should be reflected in the monthly "Assignment of personnel to medical facilities" report by CMO.
- 32.5. The Unit will demonstrate that all the medical equipment is in working condition. The medical facility area should be provided with proper flooring, cooling system and kept clean. The storage area of medicines and drugs should be well ventilated and under temperature control. Separate refrigerators should be provided for drugs and vaccines and for food items. The Inspector will check the expiry dates for drugs and other consumables.
- 32.6. **Aero-Medical Evacuation Team (AMET).** Following changes resulting from the 2017 WG, the AMET is a separate module from the Level 2 facility. The personnel composition remains at two physicians and four nurses/paramedics. It remains under the command and control of the Level 2 medical unit and will replenish its consumables through the Level 2 facility. The required equipment consists of two sets to allow simultaneous deployment of two sub-teams at any given time. The details on AMET have been updated in the Appendix 7.1 to Annex C of Chapter 3 of COE Manual 2017.
- 32.7. **Ambulance.** All the medical equipment inside the ambulance will be inspected by the COE Inspector and the FMO/CMO representative. An ambulance is operational only if it is equipped with required items outlined in Chapter 3, Annexes A and B, Appendix 2.1, Table item F, page 72 of COE Manual. Two fully equipped ambulances, reimbursed separately as ME, will be required for Level I Hospitals.
- 32.8. **Laboratory.** The Lab should be kept clean and have the required analysers as enlisted in the COE Manual.
- 32.9. **Dental.** The equipment will be inspected to make sure that all the accessories are available, kept clean and duly maintained. The unit should have sufficient stocks of supplies of dental equipment.
- 32.10. **Radiography.** The X-ray machines and film processors will be inspected to make sure that they are in working condition. The Inspector will also check if the proper protective clothing is provided.

- 32.11. **Operating Theatres.** All the operating theatres and medical equipment will be inspected. The Inspector should make sure that operating theatres are up to required standards, kept clean and sterile and the Unit provides adequate surgical consumables. The oxygen cylinders should be checked for the expiry date.
- 32.12. **Hospital Kitchen and Laundry.** The Inspector will inspect the hospital's kitchen and laundry facilities, ensuring that there is a separate washing machine for medical and patients' clothing, separate cooking facilities for patients, and proper storage of drugs.
- 32.13. **Incineration.** The Inspector will ascertain that the Unit has adequate incinerators for disposal of medical waste. No medical waste, including expired medicine and drugs, may be disposed of in the normal, non-hazardous garbage.

### **Observation**

- 33. The Unit should present all observation equipment including binoculars, night observation equipment, global positioning systems and laser range finders for inspection grouped in one place at each location. Inspectors should determine, based on the operational tasking of each unit or on the Force HQ directive (if available), whether the quantities and capabilities held per location are sufficient to carry out tasks. The inspection team will inspect the equipment for proper storage, maintenance and serviceability and verify the holding of spare batteries for NVDs and GPS.

### **Personal Equipment**

- 34. The Unit will present the list of holdings in terms of soldier's personal equipment. The unit personnel will display all their personal equipment items. The inspection team will inspect that the personal equipment deployed are in accordance with the items enlisted in Annex A of the MOU.



**Annex K. GUIDELINES FOR FIELD MISSIONS FOR IMPLEMENTING GENERAL ASSEMBLY RESOLUTION 67/261 (SECTION II): DEDUCTIONS TO T/PCC PERSONNEL REIMBURSEMENT ARISING FROM ABSENT OR NON-FUNCTIONAL COE MAJOR EQUIPMENT**

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**A. INTRODUCTION**

1. General Assembly Resolution 67/261 (Sect II Absent or non-functional ME) requires that:
  - 1.1. To the extent that ME specified in relevant Memoranda of Understanding is absent or non-functional, thereby impacting on the ability of a contingent to perform the responsibilities required of it, the rate of personnel reimbursements to troop or police contributing countries be reduced proportionally.
  - 1.2. No deduction, to personnel reimbursements, will be applied until after two consecutive unsatisfactory quarterly contingent-owned equipment verification reports, in order to provide contributing countries with sufficient opportunity to address shortfalls.
  - 1.3. No deductions, to personnel reimbursements, will be made for ME that is absent or non-functional for reasons deemed by the Secretariat to be beyond the control of the troop or police contributing country (T/PCC).

**B. VERIFICATION REPORTING REQUIREMENTS (ABSENCE)**

2. Upon recording inspections, the following information should be available in verification reports in relation to absent ME:
  - 2.1. Quantity of equipment absent in the respective ME line item;
  - 2.2. The from/to dates of absence;
  - 2.3. The reason for absence;
  - 2.4. Indication whether the item(s) is/are absent for reasons considered beyond the control of the T/PCC and why;
  - 2.5. Indication as to whether “in lieu of” (ILO) ME has been made available and the authority (military, police or support management) who has endorsed that other specific equipment has been found an acceptable replacement of the absent item.

**C. VERIFICATION REPORTING REQUIREMENTS (NON-FUNCTIONALITY)**

3. To ensure consistency in intent between the terminology used in the COE Manual and GA resolution 67/261, for VR reporting purposes, ME considered “unserviceable” in the context of the current COE reporting system is to be considered to be “non-functional”, in the context of the GA resolution. Upon recording inspections, the following information should be available in verification reports in relation to non-functional ME:
  - 3.1. The Serial Number, UN Plate number, and/or other unique identifying attributes for each non-functional ME item;
  - 3.2. The from/to dates of non-functionality for each item;
  - 3.3. The reason for non-functionality of each item;
  - 3.4. Indication whether each item is non-functional for reasons considered to be beyond the control of the T/PCC and why;

- 3.5. Indication as to whether 'in lieu of' (ILO) ME has been made available to make for the non-functional and the authority (military, police or support management) who has endorsed it.

#### **D. BEYOND THE CONTROL OF THE T/PCC**

4. In determining whether the absence or non-functionality of ME is due to circumstances beyond the control of the T/PCC the principle of "reasonability" is to be followed. In some cases, the circumstances leading to absence or non-functionality of ME may be unclear and will need to be subject to investigation by the mission, including when appropriate, by mission Boards of Inquiry (BOI). In cases when the results of investigations or BOI are pending, the T/PCC should initially be given the benefit of the doubt, i.e. the absence or non-functionality is to be reported as being "beyond the control of the T/PCC", until the results of the investigation are confirmed by missions. If after investigation the mission determines that the circumstances were within the control of the T/PCC, subsequent VR should indicate this. It is recommended that missions utilize their COE and MOU Management Review Boards (CMMRB) to confirm the results of investigations.
5. Circumstances considered to be "Beyond the Control of the T/PCC" are generally those where:
  - 5.1. **Absence.** The T/PCC has done its utmost to deploy the equipment to the field mission or the area of responsibility or to make the equipment available for operations, but has been prevented from doing so due to factors that are clearly beyond its control.
  - 5.2. **Non-Functionality.** The T/PCC has done its utmost to maintain the equipment in a functional condition or to return it to functionality, but has been prevented from doing so due to factors that are clearly beyond its control.

#### **E. ABSENCE OF ME**

6. The absence of ME may be considered to have been caused by factors beyond the T/PCCs control if:
  - 6.1. The absence has been caused by the transportation delays in the delivery of ME to the mission area/area of responsibility/area of operations.
  - 6.2. The absence has been caused by hostile action or force abandonment.
  - 6.3. The absence has been caused by a natural disaster.
  - 6.4. The absence has been caused by an accident.
  - 6.5. The absence has been caused by external factors affecting the redeployment of a unit from one mission to another.

#### **F. NON-FUNCTIONALITY OF ME**

7. The non-functionality of ME may be considered to have been caused by factors beyond the T/PCCs control if:
  - 7.1. The non-functionality arises as a result of external factors during initial deployment, augmentation or rotation organized by the TCC, such as damage incurred during transport to mission area.
  - 7.2. The non-functionality arises as a result of hostile action.
  - 7.3. The non-functionality arises directly as a result of a natural disaster.
  - 7.4. The non-functionality arises directly from an accident.

- 7.5. Delays in deployment of spare parts and consumables beyond the control of T/PCC, such as, the host government delaying its release from the port.

**G. EXAMPLES OF DETERMINATIONS OF BEYOND THE CONTROL OF T/PCC**

8. A matrix providing cases, examples and remarks involving the absence or non-functionality of ME is attached as Appendix 1 to Annex K. These cases are presented to assist missions to determine whether the absence or non-functionality of COE ME should be considered as beyond the control of T/PCC. **The examples given are not exhaustive and are a guide only.** Each instance of absence or non-functionality of ME is to be considered on a case by case basis and subjected to investigation and confirmation where necessary. The dispute resolution mechanism as detailed in Chapter 2 of the COE Manual applies to the final determination whether the absence or non-functionality of ME was beyond the control of the T/PCC.

**APPENDIX TO ANNEX K - GUIDELINES FOR THE DETERMINATION OF WHETHER THE ABSENCE OR NON-FUNCTIONALITY OF ME HAS RESULTED FOR REASONS CONSIDERED BEYOND THE CONTROL OF THE T/PCC IN THE CONTEXT OF LINKING COE REIMBURSEMENT WITH PERSONNEL REIMBURSEMENT**

**Introduction**

1. The United Nations General Assembly approved the conclusions and recommendations in the Report of the Senior Advisory Group and requested the Secretary General to ensure their implementation in accordance with the provisions in 67/261 dated 06 June 2013.
2. The purpose of these guidelines is to assist field missions to determine whether the absence or non-functionality of COE ME has resulted for reasons considered beyond the control of the troop/police contributing country in the context of linking COE reimbursement with Personnel reimbursement.
3. These guidelines comprise two sections outlining general principles, cases, examples of absence and non-functionality and remarks clarifying each case. Examples in both sections are not exhaustive. These, however, address broad cases that may occur in missions.

**Absence of COE Major Equipment**

4. In the context of determining whether the absence has resulted for reasons considered beyond the control of the T/PCC, “absence of COE ME” means:
  - 4.1. The COE ME required by the MOU has not been deployed in the mission;
  - 4.2. Even if the COE ME has arrived in the mission, the unit has not taken possession of it yet; or
  - 4.3. The unit has lost control of its COE resulting from acts of God, hostile action, forced abandonment, or an accident.

**General Principles**

5. The consideration of “absence of COE ME” should be consistent with the provisions in COE Manual, Chapter 6, “Procedures for reimbursement for loss or damage of contingents-owned equipment.
6. Where an investigation is required, the “absence of COE ME” will be reported for reasons considered beyond the control of the TCC until the case is being formally addressed and decided by the pertinent authority.

#	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
1	Upon initial deployment, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's area of responsibility (AOR).	<p>The transportation of an Infantry Battalion's COE from the point of debarkation in the mission area to the unit's AOR has been planned to be conducted in five convoys.</p> <p>Four COE convoys have already reached the unit's AOR.</p> <p>The unit's troops have been recently deployed in the AOR.</p> <p>The fifth COE convoy, which comprises most of Company B's equipment, is delayed due to poor prevailing mobility.</p>	<p>Yes. The Infantry Battalion didn't control the movement, therefore; the absence of COE in the fifth convoy due to adverse environmental conditions doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.</p> <p>Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.</p>
2		An Infantry Battalion is deploying to a mission. Some COE has been held in customs by the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	<p>Yes. Since some COE is held by the Host Nation its absence doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.</p> <p>Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.</p>
3	Upon augmentation authorized by the UNSC, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's AOR.	A Mechanized Company size augmentation is deploying to a mission. COE in transit from the point of debarkation to the unit's AOR is delayed due to adverse prevailing environmental conditions affecting mobility.	<p>Yes. The prevailing environmental conditions prevent the TCC from controlling its COE. There are no implications on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.</p> <p>Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.</p>
4		A Mechanized Company's incoming COE, for the augmentation of a deployed Mechanized Infantry Battalion, has been held in customs by	Yes. Since the equipment is held by the Host Nation therefore; this absence doesn't have any impact on personnel

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		the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	reimbursement. The Arrival Inspection of the delayed COE is pending.  Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
5	Upon rotation of equipment, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's AOR.	A Transport Company incoming COE for rotation has not reached the unit's AOR due to adverse prevailing environmental conditions affecting mobility.	Yes. The prevailing environmental conditions prevent the TCC from controlling its COE. There are no implications on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.
6		An Infantry Battalion's incoming COE for rotation has been held in customs by the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	Yes. Since the equipment is held by the Host Nation therefore; this absence doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.
7	Upon initial deployment, augmentation or rotation of COE, regardless of who is responsible for the movement, COE is lost in transit from the port of debarkation in the mission area to the unit's AOR.	A contractor is responsible for moving the COE to an Infantry Battalion's AOR.  Belligerents seized and/or destroyed an Infantry Battalion COE in transit.	Yes. The loss of COE has resulted for reasons considered beyond the control of the TCC. There are no implications on personnel reimbursement.  Normally, for the initial deployment or augmentation, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
8		The TCC has undertaken the movement of COE from the capital to an Infantry Battalion's AOR, under a LOA.  Belligerents seized and/or destroyed an Infantry Battalion COE in transit.  The TCC has not been made responsible for providing force protection for the movement.	Yes. The loss of COE has resulted for reasons considered beyond the control of the TCC. There are no implications on personnel reimbursement.  Normally, for the initial deployment or augmentation, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
9		An Infantry Battalion's COE have been destroyed by belligerents. Following the	Yes. There are no implications on personnel reimbursement. COE reimbursements

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	COE is lost as a consequence of hostile action or forced abandonment.	investigation, the FC has approved the loss on the grounds of hostile action.	ceases, however; the Government may claim on the grounds of hostile action.
10		As a result of a carjacking COE is abandoned by force. Following the investigation, the FC has approved the forced abandonment.	Yes. There are no implications on personnel reimbursement. COE reimbursements ceases, however; the Government may claim on the grounds of forced abandonment.
11		An Infantry Battalion's COE have been abandoned by force resulting from hostilities by belligerents. Following an investigation, the Force Commander has not approved the loss on the grounds of forced abandonment.	No. The loss has to be reported not for reasons considered beyond the control of the TCC. COE reimbursement ceases. There are implications on personnel reimbursement.
12		A FPU COE vehicle is stolen following being parked, unattended and unguarded while FPU staff carried out administrative tasks in town.  The mission's UNDSS Internal Investigation Unit has not found any negligence on the part of the FPU staff. The PC has approved the forced abandonment.	Yes. There are no implications on personnel reimbursement; however, the contingent is required to replace the vehicle in order for the FPU to be MOU compliant.
13		An Infantry COE vehicle is stolen following being parked, unattended and unguarded while troops in charge carried out purchases in a village out of bounds.  MP investigation reported negligence on the part of the Infantry staff in charge of the vehicle and security breaches by the troops manning the camp's main gate that allowed the vehicle to leave the camp without force protection. The FC has not approved the forced abandonment.	No. The loss has to be reported not for reasons considered beyond the control of the PCC.  Normally, at times of an increased security alert, COE vehicles may have to be provided with force protection whenever they move out of the camp/installation.  There are implications on personnel reimbursement.
14	Loss caused directly as a result of a natural disaster	An earthquake directly results in the loss of an Infantry Battalion's COE.	Yes. All acts of God are events outside human control, such as sudden natural disasters for which no one can be held responsible, therefore the loss has to be

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			<p>reported for reasons considered beyond the control of the TCC.</p> <p>COE reimbursement ceases; however, there are no implications on personnel reimbursement.</p> <p>Examples of Acts of God are: earthquakes, floods, volcano eruptions, fires, tsunamis, hurricanes, landslides, typhoons, violent storms etc.</p>
15	Loss caused directly by an accident.	Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to a no-fault incident.	<p>Yes. The loss resulting from a no-fault incident has to be reported for reasons considered beyond the control of the TCC. COE Reimbursement ceases however, there a no implications on personnel reimbursement.</p> <p>A no-fault incident is defined as an incident resulting from a mishap that is not attributable to willful misconduct or gross negligence on the part of an operator/custodian of equipment. Mishap means an unfortunate accident, bad luck.</p>
16		Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to negligence by the contingent driver.	<p>No. The loss resulting from negligence by the operator has to be reported not for reasons considered beyond the control of the TCC. COE reimbursement ceases and there are implications on personnel reimbursement.</p>
17	Upon redeployment of a unit from one mission to another in the framework of intermission cooperation, a T/PCC is prevented from taken control of their COE due to external factors.	Due to deterioration of the security situation in a mission, a Formed Police Unit (FPU) is redeployed to another mission. The unit's personnel are promptly deployed by air with some COE. The bulk of COE has remained in the dispatching mission, because the Host Nation at the receiving mission has not authorized the movement of COE on the	<p>Yes. The Host Nation has the right to reject the deployment of personnel and/or equipment which it deems a hazard to its population; therefore, the absence of equipment in the receiving mission should be considered for reasons beyond the control of the PCC. There are no implications on personnel reimbursement.</p>



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		grounds of potential hazards to its population at the time of an epidemic.	COE reimbursement continues until the remaining COE leaves the mission area from the original mission.
18	Upon the Arrival Inspection the equipment deployed doesn't match the category/description required by the MOU however, it may preliminary be considered as an acceptable replacement of the absent equipment.	<p>A Multi-Role Logistics Units has not deployed 10 Support Vehicles (Military Pattern) (6 to 10 tons) required by the MOU. COE Inspectors have verified the deployment of 25 Support Vehicles (Military Pattern) (2.5 to 5 tons), 15 of which are required by the MOU.</p> <p>The Mission's CMMRB acknowledges that the transportation capability of 10 surplus (2.5 to 5 tons) is half of that required from (6 to 10 tons) vehicles, however, it regards the surplus equipment as an acceptable replacement of the absent on the grounds that the unit meets the transportation requirements on ground.</p> <p>CMMRB has recommended the amendment of the MOU to reflect what the TCC has deployed.</p>	No. The TCC is not complying with the MOU requirement however; given the recommendation made by the Mission's CMMRB an amendment to the MOU is now required. There are no implications on personnel reimbursement.
19		<p>An Infantry Battalion has deployed 4 Ambulance (commercial pattern) (CP) (4 x 4) instead of (military pattern) (MP).</p> <p>Four Ambulances (military pattern) are reported absent in the Arrival VR.</p> <p>Four Ambulances (4 x 4) (CP) are recorded in the relevant line item of Commercial Pattern vehicles. Arrival VR Remarks read that these (CP) vehicles may be considered as an acceptable replacement of the absent required contingent upon its proven effectiveness and the required endorsement by the Mission's CMMRB.</p> <p>Two months later, the ambulances (CP) have proven ineffective in casualty evacuation in several instances. Force Medical Officer (FMO)</p>	No. The TCC is not complying with the MOU. There may be personnel reimbursement implications based of evidence submitted by the Mission.

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		<p>and Chief Transport Section (TS) have concluded that the model deployed is not satisfactory due to the poor mobility in the AOR most of the year.</p> <p>CMMRB has endorsed the evaluation made by FMO &amp; Chief TS and recommended the deployment of ambulances military pattern as soon as possible.</p>	
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**Non-functionality of COE Major Equipment**

7. In the context of determining whether the non-functionality has resulted for reasons considered beyond the control of the T/PCC, “non-functional equipment” is equipment which a COE Verification Team has found unserviceable/out of order/unsuitable to provide the services for which it has been manufactured.

**General Principles**

8. This consideration of “non-functionality of COE ME” should be consistent with the provisions in COE Manual, Chapter 6, “Procedures for reimbursement for loss or damage of contingent-owned equipment.”
9. Where an investigation is required, the “non-functionality of COE ME” will be reported for reasons considered beyond the control of the T/PCC until the case is being formally addressed and decided by the pertinent authority.

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#	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
1	Upon initial deployment, augmentation or rotation of COE for which the UN/contractor has been responsible.	An Engineering Company COE Bulldozer medium D7 is found non-functional at the Arrival Inspection.	No. Unless the COE became non-functional due to damage during transportation for which an investigation is required, there are COE and personnel reimbursement implications.
2	Upon initial deployment, augmentation or rotation of COE for which the TCC's Government has been responsible.	An Infantry Battalion COE APC Infantry Carrier – armed (class II) is found non-functional at the Arrival Inspection.	No. Unless the COE became non-functional due to damage during transportation for which an investigation is required, there are COE and personnel reimbursement implications.
3		<p>A contingent's COE is damaged during transportation and is found non-functional at the Arrival Inspection.</p> <p>However, the T/PCC claims that damages were sustained during the stay at the point of debarkation or staging area where T/PCC super-cargos' control had been hindered by external factors.</p>	Yes. Even if the T/PCC was responsible for the transportation of COE to the unit's AOR the claim leads to an investigation. Until the investigation comes to an end, there are no personnel reimbursement implications for non-functional equipment.
4	COE is damaged becoming non-functional as a consequence of hostile action.	An Infantry Battalion's COE becomes non-functional directly or indirectly as a consequence of hostile action. Following an investigation, the Force Commander has approved the hostile action.	Yes. The non-functionality has to be reported for reasons considered beyond the control of the TCC. COE reimburses ceases while the COE remains unserviceable. There are no implications on personnel reimbursement.
5		An Infantry Battalion's COE becomes non-functional directly or indirectly as a consequence of hostile action. Following an investigation, the Force Commander has not approved the hostile action.	No. The non-functionality has to be reported not for reasons considered beyond the control of the TCC. There are implications on personnel reimbursement.
6	Damage caused directly as a result of a natural disaster	A major flood in an Infantry Battalion's AOR results in the non-functionality of COE.	Yes. All acts of God are events outside human control, such as sudden natural disasters for which no one can be held responsible, therefore the damage has to

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#	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
			<p>be reported for reasons considered beyond the control of the TCC.</p> <p>COE reimbursement ceases, however, there are no personnel reimbursement implications.</p> <p>Examples of Acts of God are: earthquakes, floods, volcano eruptions, fires, tsunamis, hurricanes, landslides, typhoons, violent storms etc.</p>
7	Damage caused directly by an accident.	Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to a no-fault incident.	<p>Yes. The non-functionality resulting from a no-fault incident has to be reported for reasons considered beyond the control of the TCC. COE Reimbursement ceases however, there are no implications on personnel reimbursement.</p> <p>A no-fault incident is defined as an incident resulting from a mishap that is not attributable to willful misconduct or gross negligence on the part of an operator/custodian of equipment.</p> <p>Mishap means an unfortunate accident, bad luck.</p>
8		Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to negligence by the Formed Police Unit driver.	<p>No. The non-functionality resulting from the accident due to the negligence of the operator should be reported not for reasons considered beyond the control of the PCC.</p> <p>COE Reimbursement ceases and there are implications on personnel reimbursement.</p>
9	COE is found unserviceable at a COE Inspection.	The boom lift cylinder of an Engineering Company Crane, mobile heavy (25-30 tons) has been found unserviceable.	<p>No. The TCC has deployed the Engineering Company under wet lease, therefore is responsible for the maintenance of its ME. COE Reimbursement ceases and there are implications on personnel reimbursement.</p>

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#	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
10	A third party responsible for providing maintenance to a TCC unit's equipment does not fulfil the obligations under the wet/dry lease Options 2-5 as detailed in the COE Manual.	<p>One Truck utility/cargo (2.5 to 5 tons) of TCC "A" Infantry Battalion has been unserviceable from 05 January to 31 March 2015.</p> <p>TCC "B" responsible for carrying out the maintenance of TCC "A" COE, under wet lease Option 2, has not fulfilled its obligations for lacking spare parts and consumables.</p>	Yes. It is beyond the control of TCC "A" therefore there are no personnel reimbursement implications. However, there may be COE and personnel reimbursement implications for TCC "B".

## **Annex L. PREPARATION, REVIEW AND SUBMISSION OF VERIFICATION REPORTS**

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### **A. CREATION OF VERIFICATION REPORTS**

#### **Automated Elements**

1. In ECOE, the quantities of equipment, quantities of serviceable and unserviceable days, arrival and departure dates of equipment, and un-serviceability dates and reasons all populate automatically in the VR based on completed and submitted inspection records. The same is true in the SS VR: categories of SS which do not meet standards for reimbursement, and the reasons in the comments section, are automatically included when generating the VR.

#### **Arrival Verification Report**

2. Only one Arrival VR should be created per formed military or police unit. The COE Unit should conduct the ME Arrival Inspection within 30 days of the initial deployment of the unit's COE to the mission area. Date of arrival of the COE to the mission is the date when equipment is received from a carrier upon arrival. Any future arrivals of COE are to be reflected in the VR covering the quarterly inspection period when such arrivals occurred.
3. Under the space on the VR for general comments, the dates of inspection and dates of arrival of each shipment of equipment should be noted. When available, the COE Unit should obtain copies of the documents proving the date of arrival and file them together with the signed inspection work-sheets. These documents do not need to be submitted to UNHQ along with the signed VR.

#### **Painting of COE in UN Colours**

4. An item attribute required for inspection and recording during conduct of the Arrival Inspection is the UN Colour status of applicable equipment. Applicable equipment categories are defined in the COE Manual as having rates of reimbursement for Painting / Repainting. Apart from written exceptions, vehicles not painted in UN Colours are to be considered not operational. ECOE provides an option for "Unpainted" as an unserviceable reason for vehicles.

#### **Equipment Classification**

5. Ordinarily, a T/PCC will agree upon deployment of specific types of equipment during the MOU negotiation, and provide COE inspectors with a list of such equipment prior to conduct of the Arrival inspection. The Arrival VR verifies or establishes the correct classification of deployed equipment. Any equipment not deployed as per agreed MOU category must be included in the VR. All applicable item details justifying its classification should be included in the 'Remarks' column in the equipment line item.

#### **In Lieu of**

6. In some cases, a T/PCC deploys equipment not on the MOU but which can serve the same purpose, i.e., "in lieu of" (ILO) the equipment on the MOU. ILO equipment must be described in the VR as such and include the supporting opinion of the mission Force Headquarters (FHQ). A component of the VR reporting process in ECOE, allows users to indicate whether instead of absent items other items had been deployed as ILO. Any discussion of eligibility for reimbursement is to be omitted from the VR, and is only made in UNHQ, based on negotiations with the relevant T/PCC.

#### **Periodic Verification Report**

7. Periodic VR cover three-month periods, and each period is designated a quarter in ECOE. Q1 is 1 January to 31 March, and so on. All arrivals or departures of COE which occur after the

initial deployment of the contingent to the mission area and prior to the complete withdrawal of the unit from the mission should be indicated in the regular VRs of the appropriate period.

### **Operational Readiness Inspection Verification Report**

8. ORI VR should be prepared after each Operational Readiness Inspection, and on a semi-annual basis (i.e., every other quarterly VR may be an ORI.) While the inspection scope and procedure for an ORI differs from a regular periodic inspection, the procedure for creating and entering the inspection data in ECOE, and creation of the VR, is the same. It is not necessary to create a separate ORI Verification Report in the same period as a Periodic Report. Only one VR needs to be submitted to UNHQ per unit per reporting period, as long as each VR covers the entire period.

### **Departure Verification Report**

9. The COE Unit should create Departure VR only once upon final withdrawal/repatriation of all contingent's COE from the mission area. The Period from on the Departure VR should normally be the first day of the reporting period in which the departure takes place. The "Period To" is the date of departure of the COE from the mission, which should be considered the date when equipment was loaded to the carrier for the departure. For example, if the departure date is 15 February, the Departure VR will cover the period 1 Jan to 15 Feb.
10. Regular repatriations of individual equipment items during the contingent's deployment will be reflected in the VR covering the period when such repatriation occurred. Under the general "VR Comments" section, the inspector should enter the inspection dates, dates of departure and date of the cease of operations. In cases where a cease of operations is declared for a unit, and the unit personnel repatriate but the equipment is held in the mission area for reasons relating to delays in transportation, customs, etc., regular Periodic VR should be created until such time as the equipment repatriates. At that time, a final Repatriation VR should be created.
11. In addition to completing Repatriation inspection work-sheets, the COE Unit should obtain copies of the documents proving the date of departure of the COE and a document providing the official date of the cease of operations (fax, FRAGO etc.) and file them together with the signed work-sheets. As with the Arrival VR, these documents do not need to be submitted to UNHQ along with the signed Repatriation VR.

## **B. REVIEW AND SUBMISSION OF VERIFICATION REPORTS**

12. ECOE automates the population of most information required in the Verification Report. If all Inspection Records have been properly created, completed, and submitted, almost all information required in the VR should already be included. The purpose of the review is to conduct quality control.

### **Quality Control**

13. Before submitting a VR for approval by the COE Programme Manager/Chief COE Unit, and further circulation dissemination of the VR in the mission for signature, as minimum, the following must be verified:
  - 13.1. For Unserviceable Equipment or SS category which does not meet requirements, there is a corresponding reason/explanation in the remarks section below the line item, along with item details and unserviceability dates.
  - 13.2. The value in the Unserviceable Days column must match data presented in the comments section; if the value is zero, there cannot be any unserviceable items in the remarks; if the value is greater than zero, there must be corresponding unserviceable record or records in the remarks section.



- 13.3. In the SS VR, the “Applicable Troop Strength” value must be greater than zero if the Acceptable value is “YES”.
  - 13.4. In the SS VR, a value of “N/A” in the Acceptable column must be accompanied by an explanation in the comments section if the category of SS is a responsibility of the UN or T/PCC; likewise, a value of N/A in the “Responsibility” column with a value of “YES” or “NO” in the “Acceptable” column should also have explanatory remarks.
  - 13.5. The VR “Period From” and “Period To” must match the quarter for which the VR is covering.
  - 13.6. The names of parties responsible for signing the VR (COE Inspector, Chief COE Unit, Chief, Contingent Representative, Force Commander/Police Commissioner, DMS/CMS, etc., must be included in the VR.
  - 13.7. Inspection dates are included in the General Comments section on the VR, as well as any other relevant general information.
14. To assist the review of VRs, ECOE users can produce a formatted draft VR at any time during the VR editing process.

**Submission of Signed Verification Reports**

- 15. Once the hardcopy of the VR has been circulated for signature and has returned to the COE Unit, it is to be scanned and attached to the corresponding VR record in ECOE. At this point, the VR is ready for submission to UNHQ. When distributing the VR to users in UNHQ, the VR should not be sent as an attached pdf, but rather email the link to the document in ECOE. (As with all of the other ECOE processes described in this Annex, detailed instructions concerning how to attach and send links are covered in the ECOE manual, which is available from COE Unit/UNHQ, or from the ECOE Unite Connect Community).

**Deadlines for Submission of Verification Reports to UNHQ**

- 16. MCMS/FBFD/DFS processes VRs on a quarterly bases as per the dead-lines set by Peacekeeping Finance Division (PFD). Field Missions will be required to forward the VRs within 45 days of the end of reporting periods 1, 2 and 4, and 30 days after reporting period 3 unless a different reporting scheduled is communicated by MCMS/FBFD/DFS, as in the table below:

Reporting Period	From	To	VR Due Date	Number of Days
1	1 January	31 March	15 May	45
2	1 April	30 June	15 August	45
3	1 July	30 Sept	30 October	30
4	1 October	31 December	15 February	45

**Figure 1: Reporting Deadlines**

- 17. To help ensure that these deadlines are met, the following series of actions are recommended:
  - 17.1. Confirm the above deadlines with the applicable MCMS desk officer, as these can be subject to change;
  - 17.2. Request the Contingent Commander, FC/PC and DMS/CMS and other offices responsible for providing signatures to the VR, to advise the COE Unit in writing as to

the designated official responsible for signing VRs and other reimbursement documents (issue vouchers, etc.) in case of their absence. In addition, all officials responsible for the signing of the VRs should be informed in writing on the existing deadlines for the submission of VRs and on the consequences of any delay. Each official responsible for the signing of the VRs should establish reasonable time frames during which the VRs should be reviewed and signed or returned to the COE Unit for required corrections;

- 17.3. Whenever possible, the VRs should be submitted for signature in consolidated packages e.g. by region, sector, etc. Completed sets of VRs can be forwarded to MCMS/FBFD/DFS via ECOE as soon as they are signed. In missions with a small number of formed units it may be possible to process all the VRs for the reporting period at once. It should be noted that at times, MCMS desk officers will want to begin reviewing VRs which are still in draft form in order to get an advance start on processing. ECOE allows MCMS desk officers to produce copies of draft reports before the VRs are finalized.
- 17.4. While ECOE automatically notifies the Chief COE Unit when VR are submitted for approval, and allows COE staff to monitor the progress of VRs, the signature process still takes place offline, in hardcopy. It is recommended that a staff member within the COE Unit be designated as responsible for tracking the VR approval process in the mission and submitting the VR to UNHQ. In addition, in anticipation of the absence of the staff member holding the designated role as COE Chief, the next in line focal point should request role of VR approver from the ECOE helpdesk (OICT).

## **C. ECOE METHODOLOGY FOR CALCULATING VALUES**

### **ECOE ME VR Formulae**

18. It is important to understand how the calculations in the ME VR work, since results can sometimes appear counter-intuitive. For example, as per the methodology, the Actual Quantity for a line item can be zero despite a Serviceable or Unserviceable Days count which is greater than zero, if the item or items contributing to the day count repatriated or transferred to another unit before the end of the reporting period. It is also important to note that the formulae listed below have been worked out in consultation with and approved by MCMS.
19. The pertinent details concerning items recorded as unserviceable in the inspection rolls up to the comments section on the VR. A vehicle with a period of unserviceability during the reporting period will have the following information displayed in the remarks section under that equipment line item:
  - 19.1. Item details (Serial/UN Number of item);
  - 19.2. Generic Description;
  - 19.3. Unserviceable “Date From” and “Date To”;
  - 19.4. Reason for unserviceability.

### **Arrivals/Departures/Unit Transfers**

20. Any ME item which arrives after the start of the inspection period, departs prior to the end of the reporting period, or is transferred to or from another Unit (in the same contingent) will have its details recorded in the Remarks section under the applicable line item, and the resulting difference in its Serviceable or Unserviceable days will be included in the applicable calculation for the line item. For example, an item which arrives or is transferred into the unit after the start of the reporting period will be listed under Remarks with the following information:

- 20.1. Item details (Serial/UN Number of item);
  - 20.2. Generic Description;
  - 20.3. Arrival Date;
  - 20.4. Serviceable status.
21. The formulae and an example for how figures in the ME Verification report are calculated are in Figure 2, below.

### **Senior Advisory Group (SAG) Reporting**

22. ECOE has a SAG reporting component connected to the VR module which enables users to enter data specific to SAG reporting requirements. For every line item which is absent or unserviceable, the SAG module enables users to enter the specific reason for unserviceability or absence and if these are the fault or beyond the control of the T/PCC. SAG module also enables users to indicate whether absent equipment has other items which have been deployed as ILO. This information is then automatically produced in the VR.

	1	2	3	4	5	6
VR Line Item	QTY as per MOU	Actual QTY	QTY Serviceable	QTY Non Serviceable	Period of Unserviceability (DAYS)	Period of Serviceability (DAYS)
<b>Major Equipment line item (Generic Description)</b>	As per MOU	<b>Count of ME Records where:</b>  <b>Status</b> <> "To be Verified"  <b>(Departure date = Null OR Departure date &gt;= VR End Date) AND (Arrival date &lt;=VR End date) AND (Equipment moved into unit&lt;=VR End date)</b>	<b>Count of ME Records where:</b>  <b>Unserv days = 0</b> during the reporting period  <b>(Departure date = Null OR Departure date &gt;= VR End Date) AND (Arrival date &lt;=VR End date) AND (Equipment moved into unit&lt;=VR End date)</b>	<b>Count of ME Records where:</b>  Unserv days are > 0 during reporting period.  <b>(Departure date = Null OR Departure date &gt;= VR End Date) AND (Arrival date &lt;=VR End date) AND (Equipment moved into unit&lt;=VR End date)</b>	Sum of Unserv days for date range in the VR.	Sum of days of deployed equipment - (minus) Period of Unserviceability (DAYS)
<b>Example: Other containers</b>	Quantity on MOU is 5	5 items are deployed at start of the 90 days reporting period; 1 item is repatriated after 45 days 2 additional items are deployed after 45 days	1 item is unserviceable during the entire reporting period;  1 item is unserviceable for 15 days during the reporting period;	4 items do not have any unserviceable history during the period.	1 item is unserviceable for the entire period;  1 item is unserviceable for 15 days.	4 items are deployed during entire period = 360 days; 3 items are deployed for half the reporting period = 135; Period of unserviceable days = 105
<b>Calculation</b>	5	5 – 1 +2 = 6	2	4	90 + 15 = 105	360 + 135 – 105 = 390

Figure 2: Major Equipment Verification Report Line Item calculation.

## ECOE SS VR Formulae

23. The SS VR, when generated in ECOE, will list all SS categories, the responsible party for each (UN, T/PCC, or Not Applicable), the acceptable status (YES, NO, or N/A), and the applicable Troop Strength. A SS category designated as “NO” (not meeting requirements for reimbursement) will be so designated as the result of at least one “NO” in the SS inspection criteria submitted by the inspector. For example, the category of HF Communication has the following three requirements for Self- Sustainment:
  - 23.1. Is there a sufficient stock of spare parts and consumables to support operations and the repair or replacement of malfunctioning equipment provided?
  - 23.2. Is there any capability to communicate with sub-units and sub-elements of the contingent that are in a tactical or mobile environment, and thus unable to communicate via telephonic means, and beyond the range of VHF/UHF-FM base station communications?
  - 23.3. Is a Command-and-Control net using non-vehicular mounted HF communications equipment provided?
24. These inspection criteria are derived from the standards provided in the COE Manual. If any one of them is found to be a “NO”, when the inspection record is rolled up to the VR, the SS category of HF is designated as a “NO”, with the corresponding reason included in the comments section. If, in the above example, criterion C is a “NO”, the default comments rolled up to the VR will read as follows: “Command-and-Control net using non-vehicular mounted HF is not provided.”
25. While the formula in ECOE enters the above comment and automatically designates the category as not acceptable for reimbursement, the inspector responsible for this VR has the discretion to edit both the remarks and the acceptability (YES, NO, or N/A) according to the principle of ‘reasonability’, or other factors).

## **Annex M. GUIDANCE FOR DISPOSAL OF CONTINGENT-OWNED EQUIPMENT IN FIELD MISSIONS**

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### **A. PURPOSE**

1. This document provides general guidance which should be followed by missions regarding the in-mission disposal of Contingent-Owned Equipment (COE). Missions should use this guidance, and those provided in the References, as a basis for developing mission specific standard operating procedures (SOP) relating to the disposal of COE.

### **B. GENERAL**

2. COE is defined as major and minor equipment, spare parts and other consumables deployed by T/PCC to support their contingents in missions. COE includes equipment that is provided under MOU. COE may also include equipment that is provided by T/PCC to their contingents as national support equipment (NSE).
3. According to the general conditions for ME and SS provided by T/PCC under a Memorandum of Understanding (MOU) COE remains the property of the T/PCC. Therefore, the disposal of COE is a T/PCC responsibility, unless ownership and/or responsibility for the COE have been legally transferred to another entity.
4. The accumulation within mission areas of COE which has become surplus to operational requirements or is unserviceable and beyond economical repair may result in logistical challenges both to affected contingents and the mission. In-mission disposal of such items is often more cost effective and practical than repatriation to the contingent home country, and the UN should encourage T/PCCs to regularly dispose their long term unserviceable equipment.
5. In-mission disposal of contingent-owned equipment should be an on-going process, rather than an action undertaken shortly before contingent repatriation. T/PCCs should repair or dispose and replace the COE which is found to be non-functional for four consecutive quarters (12 months), within the ensuing six months. T/PCC should be guided to conduct regular analysis of COE that has become unserviceable beyond economical repair (BER) or obsolete with a recommendation for disposal actions.
6. UN involvement in contingent owned equipment disposal can help mitigate environmental and / or waste management hazards. The UN can assist contingents to ensure that COE disposal actions are in accordance with all applicable host country and international laws, and meet security requirements pertaining to End-User-Certificates and military pattern equipment.
7. The in-mission disposal of COE, like the disposal of UN property, should be an ongoing process rather than a last-minute action undertaken shortly before contingent repatriation. Like the formal COE/MOU quarterly verification process, missions should consider instituting a quarterly cycle of in-mission COE disposal analysis. This analysis should include a list of COE recommended for disposal. Any in-mission disposal of COE should be included in the quarterly COE Verification Reports.

### **C. DISPOSAL METHODS**

8. COE may be disposed of by repatriation, sale, donation, or by disposal action by the mission on behalf of T/PCC. In-mission disposal of COE, by any method, must be in compliance with mission SOFA/SOMA, host country customs and tax rules, regulations and procedures and other relevant host country and international laws. These restrictions may preclude specific types of COE from being disposed of in-mission by any disposal method, or by one or more of the methods described below. Missions disposing of COE on behalf of T/PCC should apply

procedures which are in general conformity to those used for the disposal of UNOE as detailed in the reference document to this Annex.

9. The T/PCC must complete all procedures required by their respective national regulations for the authorization of write-off and disposal of equipment. National contingent commanders shall certify that the appropriate national administrative write-off procedures have been followed authorizing the in-mission disposal of COE. For high value equipment such as vehicles, official documents from the national government evidencing the write-off and in-mission disposal authorization with the appropriate translation to English shall be presented to the mission. In some cases, national contingent commanders may not have delegated national authority to initiate the administrative write-off, or approve the in-mission disposal of their COE. In these cases, contingent commanders are to seek the required authorizations from their national authorities or, alternatively, missions may formally request UNHQ (LSD/DFS) to approach T/PCC Permanent Missions to obtain the necessary approvals.

### **Repatriation to Home Country**

10. The current T/PCC entitlements to repatriation of COE deployed under MOU at UN expense are that the amount of major and minor equipment, spare parts and consumables entitled to repatriation at UN expense should broadly equal the quantities of COE given prior approval to deploy by the UN. The repatriation of additional COE beyond these quantities, including any NSE equipment, is the responsibility of T/PCC. Additional COE may be included with the shipment of the COE entitled to be repatriated at UN expense, but any additional costs of including this extra COE in the entitled shipment are the financial responsibility of the T/PCC.

### **Sale of COE**

11. T/PCC may dispose of COE by sale directly to other T/PCC, the mission, UN Agencies, Programmes and Funds, NGOs, and local governmental entities, or through commercial sale. Contingents should inform missions of their intentions to sell COE by providing details of the items to be sold. The Contingent shall abide by host country regulations on the import and taxes as required by the condition of the buyer. A formal statement from the T/PCC/Contingent authorities indicating that the UN will have no further liability for the COE sold, accompanied by the copy of the sale document identifying the buyer and, if required, tax payment documents shall be presented to the Mission.
12. All UN markings, vehicle registration plates and UNOE fitted to the COE must be removed from the equipment before handover of the COE to the buyer; unless, and with the prior agreement of the mission, the sale is directly to the mission to which the contingent is deployed. As all COE is inducted into the mission area free of tax and customs duties it is required that COE, like any other article imported by the mission under such exemptions, will not be sold in the country into which it is imported except under conditions as agreed with the host country. Contingents will thus need to obtain the formal approval of the host country to dispose of COE through sale. Contingents should be requested to provide copies of the Bill of Sale or other sales agreement, with the third party, copies of importation documents, any tax or customs receipts or exemptions and other appropriate documents to the mission for records purposes.
13. COE which is of military or police pattern or value that is rendered unusable is to be repatriated or - disposed of locally as scrap (i.e. cut into pieces). Contingents should inform the mission of their disposal plans for this type of equipment and provide a formal statement that the UN will have no further liability for the equipment rendered unusable. It is important that contingents inform the mission in advance when such equipment is being disposed as scrap, so that verification of the conversion to scrap and other evidence such as a certificate of destruction, is obtained prior to handover of the scrap to the third party buyer.

## **Donation of COE**

14. Contingents may dispose of COE by donation to the host country Government, other T/PCC contingents, UN Agencies, Programmes and Funds, and NGOs. Such donations must conform to the requirements of the mission SOFA/SOMA and any applicable host country and international laws. A formal statement from the T/PCC national authorities should be provided indicating that the UN will have no further liability over the COE once it has been donated to a third party. Contingents should inform the mission of the items to be donated and to whom. All UN markings, registration plates etc., as required for COE sold to third parties, must be removed at the time of hand-over.
15. T/PCC may also request to donate COE to the mission/UN. In such cases, the concerned mission must seek the formal approval of the UN Controller, through FBFD/DFS, to accept the donation. Requests for acceptance of donations of COE by the UN should meet the following information criteria:
  - 15.1. Confirmation that acceptance of the donation does not constitute additional financial responsibility for the Organisation;
  - 15.2. Verification that the equipment is functional, useful and meets the exact requirements of the mission;
  - 15.3. Verification that the mission undertook a thorough cost-benefit analysis, considering all relevant factors (e.g. advantage of donations versus procurement of new equipment, warranties, insurance costs, need for standardization of equipment etc.);
  - 15.4. Estimate of the residual value of the equipment.
16. Pending the Controller's formal approval of the donation, missions may be authorised to accept the COE with a Certificate of Temporary Possession. An example of a Certificate of Temporary Possession is given in the referenced Property Management Manual. Missions are to obtain the advice of their Legal Office in the drafting of all such documents.

## **Disposal of COE by Missions on behalf of T/PCC**

17. Contingents may request the assistance of missions to dispose of COE through arrangements established by missions to dispose of UNOE. In these cases, a formal agreement between the T/PCC/Contingent involved and the mission will need to be prepared to formalize the hand-over of COE to the mission for subsequent disposal action. The agreement should specify that the T/PCC will make no claims for financial compensation for any potential revenue generated from the disposal action associated with the COE. The mission should dispose of the COE applying the procedures set out in the Property Management Manual.
18. In accordance with the COE Manual, T/PCC may be reimbursed for the costs of ammunition that becomes unserviceable in mission areas, including ammunition that has exceeded its expiry date, and is considered unsafe or not cost effective to repatriate to T/PCC home countries. Missions should assist T/PCC to dispose of this ammunition by destructive means utilising the mission's Force Explosive Ordnance Disposal (EOD) capabilities, UNMAS, or commercial means. T/PCC may submit claims for the costs of this disposed ammunition using the Operational Ammunition Expenditure Certificate (OAEC) and associated procedures as detailed in the COE Manual. Missions should provide contingents with an appropriate certificate of destruction for ammunition so disposed.
19. When hazardous materials, such as expired batteries, oil filters, etc. are involved in the COE disposal process, contingents should be encouraged and assisted to dispose of this material in compliance with the UN Environmental and Waste Management policies and procedures (see reference attached) and any local mission amplifying instructions.



## **REFERENCES**

- A. UN Property Management Manual
- B. UN Environmental and Waste Management Policies and Procedures

## **Annex N. DAMAGE TO COE DURING TRANSPORTATION**

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### **A. RESPONSIBILITY**

1. In case of loss or damage during transportation, the party making transportation arrangements is responsible for loss or damage incurred during transportation. Following the inspection and investigation, it has been established that loss or damage resulted during the transportation and is to be applied to ensure that troop/police contributors are reimbursed where “Significant damage” occurs to COE during transportation. “Significant damage” is defined as damage where the repairs amount to 10 per cent or more of the GFMV of the item of equipment.
2. Where the transportation on deployment and repatriation of COE is arranged by the TCC/PPCC under a Letter of Assist, the COE Unit may be able to assist field MOVCON Section and MCMS/FBFD/DFS in providing facts resulting from the respective Arrival and Repatriation Inspections and other supporting documents only. However, if the transportation on deployment and repatriation of COE is arranged by the UN the procedure outlined in Movement Control Manual to be followed.

### **B. MISSION AREA**

3. Upon arrival in the mission area, any loss or damage during transportation should be reported by MOVCON in the mission inclusive of evidence such as photographs and video. That report should be distributed in the mission to offices concerned. A similar report should be prepared when loading the equipment for repatriation to home country. Such reports should contain all relevant documentation and be filed within 30 days of the arrival/departure of the equipment.
4. For damages during deployment, the contingent should present a report to the COE Unit/Section and their national chain of command indicating the extent of the loss/damage inclusive of repair cost estimates and supporting documentation. Such report should be filed within 30 days of arrival of the equipment.
5. The COE Unit/Section should ensure that all documentation is kept in their records should DPKO or DFS require evidence to substantiate a claim. The COE Unit/Section may request technical assessment should it be deemed necessary (e.g. from a transport or engineering specialist, to ascertain extent of damages and costs of repair).
6. When substantive loss/damage of ME is recorded (10 % or more of GFMV), the mission is required to forward the report to MCMS/FBFD/DFS and copy to MOVCON in anticipation of a claim filed by the member state.
7. The damage that occurred on board of the contracted carrier is not subject to the investigation of any mission’s authority. Damage that occurred within the mission area including by the third parties (contractors) may be reported to the mission’s Board of Inquiry if warranted by the magnitude and the circumstances of the case.

### **C. CLAIMS**

8. MCMS/FBFD/DFS will entertain a claim from a contributing country, via its Permanent Mission, provided the damage amounts to 10 per cent or more of the GFMV of the item(s) of ME. The United Nations will not entertain a claim for damage of ME which is less than 10 per cent of the GFMV of the item(s). Should, however, the UN receives compensation - from the shipping company in settlement of loss or damage less than 10 per cent of the GFMV, the UN will reimburse the contributing country accordingly.

9. The United Nations will not entertain a claim from a contributing country for the loss or damage of SS items. However, if UN receives a settlement from the shipping company on SS items, money will be turned over to the contributing country. The settlement is usually based on the declared value of the SS items (loading lists).
10. For damage during deployment of equipment, MOVCON will compare the loading survey report against the PM claim and request the peacekeeping mission to provide their report. For damage during repatriation of equipment, MOVCON will coordinate with the mission regarding the loading report and compare to the claim presented by the Member State.
11. Further to the procedures indicated above, it is understood that contingents with damaged equipment during their initial deployment, may not be fully operational upon arrival. In these cases, missions are requested to extend their cooperation to the contingents, just as during the sustainment phase, to ensure that the contingent meets its capabilities in terms of becoming fully operational and ensuring safety and security of their troops. For this, the mission may be requested by the contingent to assist in conducting repairs to COE. Such assistance should be provided by the mission at their discretion, fully documenting all support provided on cost recovering basis, and reported following established procedures.

NOTE: For additional reference go to the Movement Control Manual – 2014 Edition.

## **Annex O. PROCEDURE FOR SUBMISSION OF OPERATIONAL AMMUNITION EXPENDITURE CERTIFICATE**

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### **Introduction**

1. According to the COE Manual, T/PCCs may be reimbursed for ammunition expended for operational purposes or during 'specifically authorized training beyond accepted UN readiness standards<sup>1</sup>, as directed by the Force Commander or Police Commissioner. T/PCC may also be reimbursed for ammunition or explosives which becomes unserviceable in the mission area including life expired ammunition and explosives.

### **Aim**

2. The aim of this memorandum is to outline the procedures for submission of Operational Ammunition Expenditure Certificates to report ammunition and explosives so expended.

### **Procedures**

3. Contingents are to report operational or authorised training expenditures of ammunition and explosives to Operations Branch (Military or Police respectively) using two (2) copies of the Operational Ammunition Expenditure Certificate (OAEC) attached as Appendix. Reporting should take place as soon as possible following the expenditure. Certificates are to be supported by appropriate Situation Reports, Flash Reports, After Action Reports, Aircraft Use Reports, and Incident Reports or, in the case of specially authorized training, the written directions signed by the FC or PC authorizing the training. Ammunition and explosives, both operational and training, which become unserviceable/life expired in the mission area, and which, with the prior written concurrence of the mission, have been destroyed are also to be reported utilizing OAEC.
4. Following concurrence and FC or PC certification, Operations Branch passes the completed, original documents to the Military Representative in the COE Unit for final DMS/CMS certification, collation and forwarding on a quarterly basis to the Supply Section/ LSD/DFS.
5. Contingents should note that claims relating to the operational expenditure of ammunition and explosives are to be submitted by their respective Governments at UN HQ level, and not by contingents/units within the Mission. UN HQ uses the certified OAECs submitted by the Mission to substantiate claims made by T/PCC. Without fully supported and certified OAECs such claims will be either delayed or possibly not accepted. Units should also note that ammunition for training, sighting, calibration and test firing is classified as a consumable and is included in the Wet Lease for ME. Training ammunition is therefore a national responsibility unless specifically authorized by the FC or PC for special training outlined above.

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1. Accepted UN readiness standards are that every unit, formation, ship, weapon system or equipment must be capable of performing the missions or functions for which it is organized or designed to enable the Mission's Mandate to be achieved.

**APPENDIX TO ANNEX O - OPERATIONAL AMMUNITION EXPENDITURE CERTIFICATE**

**Unit:**

<b>Serial Number</b>	<b>Ammunition Nature and Type</b>	<b>Quantity Expended</b>	<b>Reason for Expenditure</b>	<b>Operation &amp; SITREP #</b>	<b>Dates/Remarks</b>
(a)	(b)	(c)	(d)	(e)	(f)
1					
2					
3					
4					
5					
6					
7					

**Commanding Officer:**

Rank:		I certify that the ammunition listed above was expended by members of my unit during operations as detailed in the attached supporting SITREPs. <b>OR</b> (delete as necessary): I certify that the ammunition listed above was expended by members of my unit during special operational training as directed by the Force Commander and authorized by him in the attached document.
Name:		
Signature:		
Date:		

**Sector Commander Concurrence:**

Rank:	
Name:	
Date:	
Signature:	

**Force Commander Certification:**

Rank:	
Name:	
Date:	
Signature:	

**CMS/DMS Certification:**

Name:	
Date:	
Signature:	

**Notes:**

- Col (b) Give as many detail as possible of the type of the ammo expended. Eg Grenade Hand Colored Smoke Red M18; 7.62mm Ball Linked; Signal 1.5 inch White.
- Col (d) eg: Contact; or Movement outside perimeter; or Return of fire.
- Col (e) eg: Op Lion Roar. Sitrep 004 dated 12/12/03. Provide After Action Reports, Aircraft Use Reports or Incident Reports as appropriate.
- Col(f) eg: Give dates and any other remarks.

## **Annex P. COE PERFORMANCE ANALYSIS FRAMEWORK**

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### **A. GENERAL**

1. The development of a COE performance analysis framework derives from best practices in other functional areas, where uniform, cross mission reporting requirements based on Key Performance Indicators enhance the capacity to make informed decisions on the management and control of COE. Compliance is mandatory for all field missions which are responsible for or tasked with COE functions.

### **B. PURPOSE**

2. The purpose of COE performance analysis is two-fold: to present to field mission senior management a quarterly analysis of the COE verification reports; and to present mission level COE performance analysis to COE stakeholders in UNHQ under a uniform reporting format and methodology, to enable consolidation and analysis of global COE performance and to support CMMRB decision making.

### **C. PROCEDURE**

3. The foundation of the DFS performance analysis framework is the quarterly COE Status Report that provides an overview of the mission verification and reporting activities, assessment of COE and SS capabilities including trend analysis, identification of critical shortfalls and compliance with provisions of MOU. Field COE Units are to prepare the COE Status Report within 2 weeks of submission of all COE Verification Reports and forward it to the Office of Director LSD/UNHQ and to the Director FBFD/UNHQ for information/action, as applicable.. The COE Status Report should be a permanent item on the agenda of quarterly CMMRB meetings that should be held at the earliest opportunity following the finalisation of the Report. In case when the review of the COE Status Report is the only item on the agenda, and when it is not feasible to convene a regular CMMRB meeting at short notice, the missions may opt for an “e-CMMRB” procedure whereby the CMMRB agenda with the Report are circulated electronically to the co-Chairs and members of the Board for review and comments. Minutes of the e-CMMRB should reflect the comments received and that the Report was noted by the Board.
4. Management objectives are defined in the set of COE key performance indicators (KPI) which cover both performance of troop and police contributing countries. The KPIs are also used for evaluation of the operational effectiveness and efficiency of the COE management programme in the mission.
5. A sample Quarterly COE Status Report is attached in the appendix to this Annex. Use it as a guide for completing the report, both in terms of content and format.

### **D. KEY PERFORMANCE INDICATORS**

6. Two groups of COE KPIs have been developed:
  - 6.1. Compliance of the field mission COE Unit with COE/MOU management business processes;
  - 6.2. COE Performance Analysis in relation to MOU;
7. All KPIs are to be produced using templates provided by the COE Unit/UNHQ. Data for the KPIs 1 and 2 are to be entered manually by mission COE field staff into provided templates. KPIs 3, 4, 5, and 6 will be generated in Business Objects using templates provided by UNHQ. Templates will be updated on an ongoing basis to reflect updates in reporting requirements and or changes in KPI formulae. Updates and instructions will be provided to mission COE focal points from COE Unit/LSD.

### Key Performance Indicator 1: Verification Report Submission Compliance

8. Deadline for submission of Verification Report is outlined in Table below. This KPI measures the time taken to submit Verification Reports within the reporting period deadline. **The number of days taken to submit the last VR of the quarter to UNHQ after the end of inspection period will ascertain verification report submission timeline.** A KPI target for submission of VR to UNHQ has been set for 30 days with 15 days tolerance for all quarters except the quarter ending 30 September, which does not have any tolerance, and must be submitted within 30 days.

Reporting Cycle	Submission Deadline
Period 1: Jan – Mar	15 May
Period 2: Apr – Jun	15 August
Period 3: Jul – Sep	30 October
Period 4: Oct – Dec	15 February

Table 1: Verification Report Submission Deadline

9. The submission of VR will be considered completed when field COE unit either attaches all complete, signed VR to ECOE, or sends the completed, signed VR to MCMS/FBFD.

### Key Performance Indicator 2: Ensure Maximum Quarterly Physical Verification of Contingent Owned ME

10. All COE units are to perform 100 % physical verification of all contingent owned ME within each reporting cycle. This will ensure the quality and relevance of the data in ECOE and in the verification reports. For the purpose of counting the number of inspections, **'Any visit to any unit for examination of ME and / or SS categories to determine compliance to applicable MOU'** is to be considered as an inspection, which includes the following:
- 10.1. Periodic / Spot Check Inspection.
  - 10.2. Operational Readiness Inspection (as required)
  - 10.3. Arrival Inspection (as Required).
  - 10.4. Repatriation Inspection (as required).
11. The target of 100% inspection of COE and SS includes a tolerance of 10% to provide for contingencies concerning operational environment, geographical factor, flight schedule etc. affecting the realization of the inspection program in full. Information reflected in the Monthly Standard Operational Report to be used as a basis for reflection of ME and SS compliance status in the VR when physical verification could not be completed.
12. Summary of COE Business Process KPIs is shown in Table 2.

#	KPI Name	Formula	UoM	Target	Tolerance	Business Need
1	Verification Report Submission Compliance	Time taken for submission of VR after completion of Quarterly Inspection Period	Days	30 days	15 days (except QE September)	Timely initiation of reimbursement actions
2	Ensure Maximum Physical Verification	Percentage of total inspection target that has been met during the reporting quarter	%	100 %	10 %	Accurate verification of ME and SS status for reporting purposes

Table 2: COE Business Process KPIs

**Key Performance Indicator 3: ME Deployment**

13. This KPI measures the deployment of ME against the MOU requirement. The unit of measurement is days deployed per reporting period.

**Key Performance Indicator 4: ME Serviceability**

14. This KPI measures the serviceability of ME against the total quantity of equipment deployed. The unit of measurement is serviceable days deployed per reporting period.

**Key Performance Indicator 5: ME Capability**

15. This KPI measures the serviceability of ME against the MOU requirement. The unit of measurement is serviceable days deployed per reporting period.

**Key Performance Indicator 6: SS Compliance**

16. This KPI measures the T/PCC performance against each SS category for which it is responsible. For example, if a unit is required to be self-sustained in 10 categories of SS, and only meets 9, their performance is 90%. A target of 100% has been set to ensure that appropriate support structure is available in the mission. No specific tolerance level has been set to allow flexibility in assessing the impact of the SS shortfall and mission specific issues. Summary of KPIs on COE Performance Analysis in relation to MOU is as follows:

#	KPI	Formula	Measure
3	Deployment	Deployed ME / MOU requirements	T/PCC compliance in deploying the required quantity of equipment to the mission area.
4	Serviceability	Serviceable ME / Deployed ME	Contingent capability to maintain equipment deployed to the mission area.
5	Capability	Serviceable ME / MOU requirements	COE capability as per requirements in the MOU.
6	SS compliance	Quantity of Self-sustainment categories which meet requirements for reimbursement, against all categories required for contingents in the MOU.	Performance of contingents/units in respect of SS support and compliance with the obligations under the MOU

Table 3: Summary of KPIs on COE Performance Analysis in relation to MOU



17. Performance levels for each KPI are coded in the following manner:

Performance Standard	Key
Fully Compliant	>=100%
Satisfactory	90-100%
Un-Satisfactory	70-90%
Critical Shortfall	<70%

Table 4: Performance Coding

18. KPIs for ME are applied for the categories and sub-categories of equipment by type of units, by contingent. The equipment is segregated into two categories: 'Vehicles', which includes all vehicle types except trailers; and 'Non-Vehicles, which consists of all other equipment types. Items under the "Vehicle" category are further depicted in under the following sub-categories:

Combat	All APCs, tanks, and reconnaissance vehicles.
Support (MP)	All military pattern utility/cargo, water/tanker, recovery, crane, tractor, and refrigerator trucks, jeeps, ambulances, and motorcycles.
Support (CP) Pattern	All commercial pattern versions of the above, plus sedans and buses.
Other	This category includes engineering, communications, police, and airfield support vehicles, and material handling equipment.

Table 5: Vehicle Sub-Categories

19. Items under the "Non-Vehicle" are further shown depicted under the sub-categories of Armaments, Generators, Logistics (water and fuel storage), and other (Trailers, Observation, Medical Equipment, etc.)

**E. OTHER REPORTING REQUIREMENTS**

- 20. Other reporting requirements as part of COE Performance Analysis Framework are as follows:
  - 20.1. UN Provided Accommodation
  - 20.2. SAG Reporting - Non- Functional and Absent Equipment
  - 20.3. Rotation of ME at UN Expense.

**F. QUARTERLY COE STATUS REPORT**

- 21. The Quarterly COE Status report is to be structured as follows:
  - 21.1. Summary of KPIs 1 and 2 (MOU Management processes), with an explanation of any shortfalls in meeting performance targets.
  - 21.2. Analysis of KPIs 3, 4, and 5 (ME performance), including explanation of shortfalls, trends, and recommended or pending corrective actions.
  - 21.3. Analysis of KPI 6 (SS performance), including explanation of shortfalls, trends, and recommended corrective actions.
  - 21.4. Status of UN provided accommodation, including explanation of shortfalls and trends.
  - 21.5. Status on SAG Reporting -Non-functional and Absent Equipment
  - 21.6. Status on Rotation of ME at UN Expense
  - 21.7. Review of Previous CMMRB Recommendations

21.8. Any Other Issues

21.9. Annexes to the report, which contain the completed KPI templates.

### **Instructions for KPI Report Generation**

22. COE Unit/UNHQ provides report templates for all Key Performance Indicators. As the KPI reporting matures, these will evolve and change. Some KPI templates are provided in excel format. Others are produced using Business Objects (BO), which uses data from ECOE. Instructional resources and training sessions in Business Objects are available on an ongoing basis from COE Unit/UNHQ. All reports to be submitted electronically in word/excel format to UNHQ/COE unit with the COE Quarterly Status Report.

### **Principles of KPI Analysis**

23. The KPIs are designed to provide an overview of COE management activity and contingent performance against the MOU, but do not constitute an analysis per se. The analysis, derived from the KPI results, should be brief and focus on key issues affecting operational capability, mission resources, and areas requiring corrective action. It may not be possible to analyze or identify key issues based on a review of the KPI statistics alone. For example, the KPI's on ME may display very low levels of serviceability in some units and categories of equipment, while an analysis of said equipment / units reveals that these shortfalls are from units which are in process of repatriation, and so do not represent issues for pending corrective action or mission critical shortfalls. In contrast, the analysis may point to other areas not explicit in the report itself. Analysis should not be a reproduction of tabular data into text. The mission is at liberty to include additional areas of reporting to address Mission specific need. A standard layout shown as example in the Appendix is to be followed.

### **Major Equipment Analysis**

24. The analysis does not need to mention all contingents/units, but provide a general assessment, and then focus on key issues affecting operational capability or mission resources. Contents of this section may include the following:

24.1. Assessment of shortfalls of important vehicular sub-categories, with related trends if critical and necessary.

24.2. Assessment of shortfalls in any non-vehicular sub-category, if critical and necessary.

24.3. Any impending major deployment and repatriation of ME and related issues thereof.

24.4. Pending disposal actions related to ME if any.

24.5. Any other issues relating to status of ME.

### **Self-sustainment Analysis**

25. Likely contents of this section should include but may not be limited to following:

25.1. General trends of performance on various self-sustainment categories with comparison to previous quarter where the performance is critical and needs attention.

25.2. Any contingent or unit or category where performance level is critical should be highlighted with relevant details and trend.

### **Status of UN Provided Accommodation**

26. The UN is mandated to provide accommodation to contingents within six months of arrival in the mission area. Inability to provide standard UN field mission accommodation to a contingent

within six months results in a financial “penalty” to the UN, as the T/PCCs are reimbursed at both the Tentage and Accommodation SS rates. Any shortfall for providing accommodation under UN responsibility should be clearly indicated.

#### **Status on Reporting on Non-functional and Absent Equipment**

27. Following the SAG reporting Technical Guidelines, this section consists of a general overview of absent and non-functional equipment. Major cases of absence and non-functionality in respect of category and unit should be highlighted. Any issues related to absent and non-functionality ‘beyond the control of T/PCC’ should be included here.

#### **Status on Rotation of COE at UN Expense**

28. A summary of ongoing or pending activities related to rotation of ME at UN expense is to be provided here. Details concerning the ME eligible for rotation at UN expense, and the requests received from contingents with estimated costs for rotation, are to be attached to the report using the template provided in Appendix 1 to this Annex.

#### **Status of Previous CMMRB Recommendations**

29. The report should reflect an overview of key issues mentioned in the last CMMRB meeting.

#### **Any Other Issues**

30. The report may include any other major or relevant issues related with COE and MOU management as deemed appropriate to address the mission specific need. This may pertain to ME/SS or other issues such as status of ammunition, personal weapons/kit, NSE, and so on.

#### **G. APPENDIX**

31. The Appendix is a sample COE Quarterly Status Report, which is to be used as a guide on how to produce the main body of the Report.

## APPENDIX TO ANNEX P - SAMPLE OF A QUARTERLY COE STATUS REPORT

### A. PURPOSE

1. The purpose of this Report is to present Senior Management with the results of activities related to COE verification and control, for the period 01 July to 30 September 2014, and an analysis of status of COE deployed in the Mission and relevant trends thereof.
2. The analysis includes consideration of data from 6 Key Performance Indicators (KPIs) for COE, covering both the COE/MOU Management Unit's own activities, and contingent and mission performance in meeting the requirements of the Memoranda of Understanding (MOU). The KPIs were established by DFS to set levels of process controls in COE management and enhance visibility of COE capabilities. The KPIs provide uniform, scalable reporting for all missions with COE.

### B. COE INSPECTION AND REPORTING ACTIVITIES

3. The COE/MOU Management Unit uses **three** KPIs to measure its performance in the following areas:
  - 3.1. **KPI 1: Verification Report Submission Compliance.** The target is 20 days after the end of the reporting period with a tolerance limit of 10 days.
  - 3.2. **KPI 2: Percentage of Major Equipment items inspected within the reporting period.** The target is 100% inspection of contingent owned Major Equipment Items.
4. Total quantities of the military and police units in the mission, their equipment, and the performance against each KPI are in the table below. Detailed results of performance against KPI 1 and 2 are attached in Annex A.

QTY UNITS	QTY MIL UNITS	QTY POL UNITS	TOTAL INSPECTIONS PROGRAMMED	TOTAL INSPECTIONS CONDUCTED	TOTAL QTY ME	TOTAL QTY INSPECTED	KPI1	KPI 2
							AVG DAYS SUBMITTED AFTER INSP PERIOD	% ME INSPECTED
23	7	15	23	23	2,646	2578	43	96%

Figure 1: Summary of Performance on COE Business Process KPIs

5. As per Figure 1, the COE Unit had acceptable performance in meeting the target.
- ### C. CONTINGENT OWNED MAJOR EQUIPMENT PERFORMANCE
6. The following three KPIs are used to monitor formed military / police unit performance in meeting requirements of the MOU:
    - 6.1. **KPI 3: Deployment against MOU.** Total Days Deployed, divided by Days Required on MOU.
    - 6.2. **KPI 4: Serviceability of Deployed Equipment.** Days Deployed less Days Unserviceable, divided by Days Deployed.

6.3. **KPI 5: Capability against MOU.** Serviceable of deployed, divided by days required on the MOU.

7. A summary of the mission-wide performance against the ME KPIs is in the table below. Details for each unit, and performance of each unit concerning specific categories of equipment, are on Annex B. Also available in Annex B is an overview of unserviceability below 90% of MOU requirements, by vehicle and non-vehicle sub-category.

VEHICLES			NON-VEHICLES		
Deployed / MOU	Serviceable/ Deployed	Serviceable/ MOU	Deployed / MOU	Serviceable / Deployed	Serviceable / MOU
109.%	90.%	97.%	117.%	89.%	104.%

Figure 2: Summary of Contingent Major Equipment Performance

8. Overall performance of formed units during this reporting period was satisfactory in terms of serviceability per MOU requirements. Serviceability rates for deployed equipment were 90% of vehicles, and 89% for non-vehicles. However, since deployment quantity exceeded MOU requirements, overall serviceability was close to 100% in both categories. Key points are as follows:

- 8.1. There were no significant cases of absence / failure to deploy required equipment items.
- 8.2. Vehicle deployment against MOU requirement increased from 101% in the previous quarter to 109% of this quarter. Non- vehicular deployment increased from 102% to 104%.

9. Higher shortfalls in serviceability are reported in the following units:

- 9.1. **[Sample Unit 1]:** Overall ME serviceability state remained at 84%, while vehicle serviceability state remained at 70%. Unit representatives explain low serviceability as resulting from lack of spare-parts, and that deployment of the required re-supplies from the contingent national supply chain is pending. COE/MOU Management Unit recommends raising the issue to DFS/UNHQ via facsimile.
- 9.2. **[Sample Unit 2]:** The serviceability of vehicles improved from **52%** in the previous quarter to **83%** in this quarter. This is attributed to the deployment of new vehicles.
- 9.3. **[Sample Unit 3]:** The serviceability of vehicles showed improvement, from **20%** in the previous quarter to 50% in this quarter. However, this remains critical as 04x APCs, 06X Support vehicles (CP), 13 X Support vehicles (MP) are still found non-functional in this reporting period. According to the information from the **[Contributing Country]** Permanent mission, received through DFS /UNHQ, the contingent national authorities plan to deploy additional vehicles to meet operational requirements. The following graph reflects the trend of vehicle serviceability for **[Contingent]** in Q1, Q2 and Q3 2014:

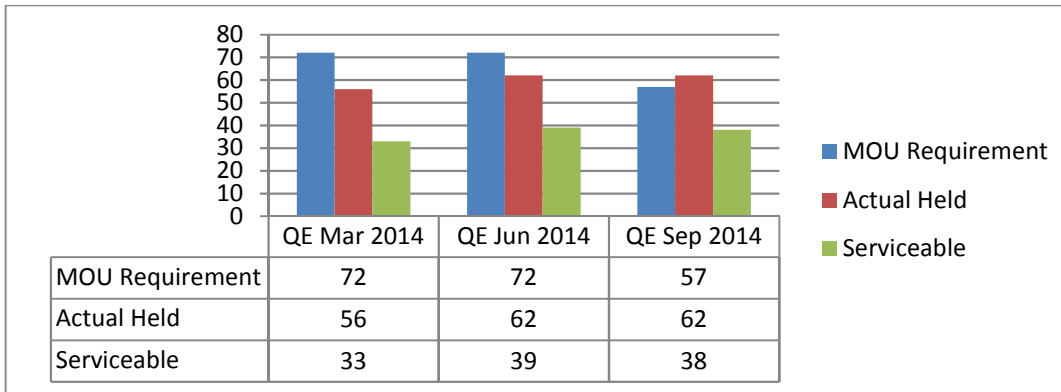


Figure 3: Vehicle Serviceability for [Sample Unit]

**D. CONTINGENT SELF-SUSTAINMENT COMPLIANCE**

10. KPI 6 on SS Compliance is used to monitor formed military / police unit performance in meeting requirements of the MOU. Quantity of Self-sustainment categories which meet requirements for reimbursement, against all categories required for contingents in the MOU. The KPI table for SS compliance is attached in Annex C. Key findings are as follows:
- 10.1. The overall SS performance of all the contingents was satisfactory.
  - 10.2. The category with the highest instances of non-compliance was HF radio, as 16 units out of 29 formed units failed to meet the standard for reimbursement. In most cases this is due to non-use of HF sets as the primary means of communication, not failure to deploy or maintain the required equipment.
  - 10.3. **[Sample Units]** of **[Sample Contingent]** did not meet standards for Electrical because of non-functional/unavailable backup generators. This represents a continued shortfall for 4 consecutive reporting periods.
  - 10.4. **[Sample Unit 4]** does not meet standards for reimbursement in Catering, Minor Engineering, Cleaning, Furniture and Basic Firefighting. For Catering, the unit depends upon a Reefer Container provided by the Mission, and demonstrated sub-standard hygienic equipment. The Unit fire extinguishers are found expired, and the unit is not equipped with sufficient minor engineering tools and or cleaning systems.

**E. ACCOMMODATION (UN RESPONSIBILITY)**

11. Mission wide status of provision of Accommodation to contingent personnel is available in Annex D. Summary is as follows:

QTY UNITS	QTY MIL UNITS	QTY POL UNITS	TOTAL UN RESPONSIBILITY (PAX)	TOTAL IN ACCOM	SHORTFALL (PAX)	%SHORTFALL
23	7	15	1,395	998	397	20%

Figure 4: Status of Accommodation

12. **[Sample Unit 5]** has a critical shortfall in terms of Accommodation as only 25% of the personnel are accommodated to standard. The following graph represents the trend of shortfall in accommodation in last four quarters which shows slow improvement.

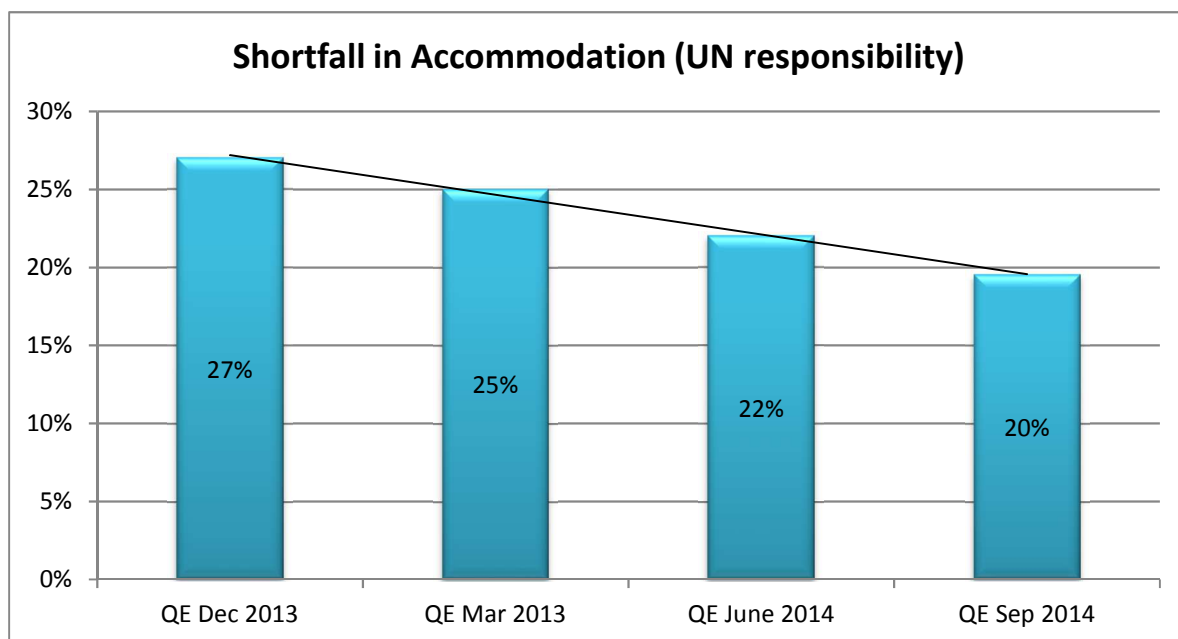


Figure 5: Trend of Shortfall in UN provision of Accommodation

#### F. NON-FUNCTIONAL AND ABSENT EQUIPMENT

13. 13. Based on the SAG Reporting Technical Guidelines, details concerning the all absent and non-functional equipment for all units and contingents are reported in the VR. The major cases for absent and non-functionality of ME beyond the control of T/PCCs are appended below:
- 13.1. **ME Absent for Reasons Considered Beyond the Control of T/PCC.** QTY x 02 Truck Utility Cargo of **[Sample Unit 1]** because of forced abandonment because of hostile action during operations.
- 13.2. **ME Non-functional for Reasons Considered Beyond the Control of T/PCC.** The following items were sustained damage resulting from Hurricane Ana during the period 12-13 June 2014:
- 01 X Forklift of Bangladesh Construction Engineering Company,
  - 06 X Jeep and 4x 4 with military radio of Pakistan Infantry Battalion 1

#### G. ROTATION OF MAJOR EQUIPMENT AT UN EXPENSE

14. Details of equipment eligible and requested for reimbursement for each unit are available in Annex E. Summary is shown in the figure below:

TYPE OF EQUIPMENT	QUANTITY ELIGIBLE	QUANTITY REQUESED	QUANTITY TO BE REPLACED	ESTIMATED COST (US \$)	REMARKS
COMBAT VEHICLES					
ENGINEERING VEHICLES					
SUPPORT VEHICLES(MP)					
SUPPORT VEHICLES(CP)					
OTHER EQPT					
TOTAL					

Figure 6: Rotation of Equipment at UN Expense Status

#### H. STATUS OF PREVIOUS CMMRB RECOMMENDATIONS

15. The latest on recommendations forwarded from last CMMRB held on 26 July 20xx is as under:
- 15.1. Recommendation on amendment of MOU for generators of [Sample Unit 2] has not yet been formalized.
  - 15.2. PM of [Contingent] has been approached by FGS to arrange repair of unserviceable APCs held in the mission area. PM apprised that they are ready to rotate QTY x 06 APCs at UN expense.

#### APPENDICES (Available separately):

- A. Results of KPI on COE Business Process.
- B. Results of KPI on ME Performance.
- C. Results on KPI on SS Compliance.
- D. Status of Accommodation (UN Responsibility).
- E. Status of Rotation of ME at UN Expense.



## **Annex Q. ECOE OVERVIEW**

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### **A. Introduction**

1. ECOE is the application used to support COE operations in UNHQ and the field. ECOE uses the same platform (Siebel CRM) used in help desk and facilities management functions within UNHQ, UNLB, and the missions. ECOE Mobile is an Android application developed to replace hardcopy inspection worksheets. ECOE Mobile is deployed and used in conjunction with ECOE. Training, tablet hardware specifications, and related support all by OICT offered for ECOE and ECOE Mobile.
2. ECOE was developed by the Office of Information and Communications Technology (OICT) in consultation with COE Unit/UNHQ. OICT manages ECOE, providing help desk, enhancements, testing, training, and coordination with ICTD/mission CITS regarding mission specific help desk and network support functions. Verification Reports created prior to the launch of ECOE are housed in ROMA (Read-Only Mission Applications), roma.dfs.un.org; requests for access to VR in ROMA may be directed to COE Unit/UNHQ.
3. At the time of this update to the COE Guidelines, a new reimbursement and payment system is under development. This will expand the scope of ECOE to include MOU and SUR generation as well as reimbursement calculation. The expected deployment date for this system is 2019. At present, ECOE is not used to create the MOU document or calculate reimbursements; these functions are still performed separately by MCMS.
4. ECOE performs the following primary functions:
  - 4.1. Houses master data such as reimbursement values for ME and SS from the COE Manual, mission specific locations, and mission specific personnel;
  - 4.2. Creates and stores detailed records, including images, of Contingent Owned Major Equipment, and equipment used for SS;
  - 4.3. Creates, with ECOE Mobile, inspection worksheets for ME and SS inspection
  - 4.4. Based on recorded inspection data, generates the ME and SS Verification reports;
  - 4.5. Houses signed and completed Verification Reports, and provides a means of sharing completed VRs via system link to COE stakeholders in UNHQ.

### **B. Implementation**

#### **Mission Start**

5. At the start of a new mission, initial contact concerning establishment of ECOE in that mission will take place between the mission COE Unit and COE Unit/UNHQ. A new mission will launch ECOE after request to OICT from the COE Unit/UNHQ. OICT will conduct network connectivity tests with mission CITS focal points to determine that network speed/infrastructure meets requirements; following successful tests, OICT creates user accounts, loads MOU data for the mission into ECOE, and, in coordination with COE Unit/UNHQ, conducts user training sessions for mission COE staff. Training for new ECOE users can be on site (in a large mission), or remote via desktop sharing and teleconference (via WebEx or other desktop sharing application). Extensive written ECOE training and reference material is available via the COE Unit/UNHQ and OICT.

## **Access Control**

6. There is no default access to ECOE. Access is granted by OICT based on requests from the designated ECOE focal point in the mission, or from COE Unit/UNHQ. Data within ECOE is limited at the mission level to only that mission's data. For example, an ECOE user in MINUSCA user can only see MINUSCA data. Users in UNHQ have read-only access to all mission data. The right to create and edit records in ECOE varies depending on the user role. A COE Inspector can create and edit equipment records and verification reports, but may not be able to finalize them if they are not the COE Chief. Other functions are limited to the designated database manager. Other users, such as COE stakeholders in UNHQ, are capable of limited editing rights, mostly pertaining to the addition of attachments to records and editing of Global Lookup data. Finally, read-only access is provided to other COE stakeholders within the missions or UNHQ, such as the office of the CMS/DMS in the mission or OMS in UNHQ.

## **ECOE Focal Point**

7. Each mission must establish an ECOE focal point ("Database Manager") who handles requests to OICT concerning the creation of new accounts, reporting of technical problems, and so on. If no ECOE focal point exists, a nomination must be made and submitted to COE Unit / UNHQ. That person will be provided with additional resources and instructions concerning procedures for requesting assistance.

## **Support**

8. The ECOE focal point must create a ticket via Unite Self Service (<https://ineedservice.un.org>) to request the creation of new ECOE user accounts, to report a technical problem, or to request support for any other ECOE related issue. Requests for new users should include the staff member's name, index number, email address, and role [COE Inspector, COE Chief, non-COE Unit staff (Read-only), etc.] Support is available 24-hours a day via support centres in UNHQ, UNLB, and Bangkok. Once a ticket is submitted via the service desk, it will be routed to the relevant support provider.
9. COE Inspectors may record ME and SS inspections in any UNOE personal computer issued to T/PCC units in the mission or borrowed from a Section/Unit which has access to the UN intranet. This is particularly convenient when COE Inspectors are away from the duty stations, such as conducting overnight visits to contingent camps. Data collected during inspections via ECOE Mobile may be synced to the ECOE server via any secure internet connection.

## **C. MAINTENANCE**

### **Data Quality**

10. All nomenclature for equipment and SS matches that produced by MCMS. There is no replication delay between missions and UNHQ, rather one instance of data which refreshes automatically. ECOE and ECOE Mobile require certain data to be recorded for each equipment item, such as Contingent, Unit, generic description, arrival and departure dates, inspection dates, serviceability status, and so on. Data entry requirements are determined by COE Unit/UNHQ in conjunction with other COE stakeholders and the field mission staff. Changes will be communicated periodically via OICT and/or LSD. ECOE applies uniform standards concerning criteria for SS acceptability. ECOE captures individual inspection records. ME and SS inspection data is rolled up into the applicable VR, e.g. quantities of equipment, serviceability, arrival and repatriation dates of items, etc.

## Data Maintenance

11. Data from MOU Annexes B and C is provided to ECOE in bi-weekly bulk updates from MCMS. Until MCMS begins entering MOU data directly into ECOE, some data pertaining to MOU Annexes will need to be updated in ECOE. This includes the “Responsible Party” values in Annex C, and the “Active” values for Annexes B and C. Field ECOE users do not have access to make these updates and must request COE Unit/UNHQ for assistance should these updates need to be made.
12. At the end of each reporting period, ECOE mission users must complete certain data maintenance tasks. These may be performed by the COE Chief or database manager and include the **cleaning Draft VR and inspections pertaining to the previous quarter**. VR and Inspection records which remain unsigned and were not used in the completion of VR, and draft VR which were raised but not used for signature must be cancelled by the responsible party within the COE Unit. COE Unit/UNHQ will provide instructions concerning specific procedures for querying and reviewing data

## Audit

13. ECOE records transaction and user data which can be used for internal and external audit purposes. Date, time, and user name associated with changes to records are recorded. ME and SS inspection records used to create VRs are retained in the system, which can be reviewed to match the contents of the VR. Inspection records lock for editing after they are submitted for inclusion in the VR. Certain record attributes can only be edited with the creation of an inspection. VRs lock for editing after they are approved by the COE Chief and designated as “Final”.

## ECOE Reporting

14. ECOE and ECOE Mobile have in-built report templates for the Verification Reports, and for the ME and SS Inspection worksheets. Apart from these ready-made templates, data is accessible from ECOE via queries; users can develop their own queries based on almost any criteria. Data can be exported to Excel for more complex reporting tasks, or to provide data to COE stakeholders without access to ECOE. OICT has also developed Siebel Analytics for ECOE, a set of premade report templates covering the ME KPIs.

## Business Objects Reporting

15. While ECOE has agile query capabilities, certain kinds of reports, such as reports on data from multiple VRs or MOU Annexes, KPI Reports are not available via export from ECOE. For these purposes, a Business Objects universe for ECOE data is available. Each Mission is requested to nominate two Business Objects focal points, who will run corporate reports including newly introduced KPI reports for COE Quarterly Status Report and provide mission level reporting as required. Access is granted via request to COE Unit/UNHQ, which can also provide instructional material, report templates, and training sessions (via Webex) as required.

## ECOE Project Management

16. The ECOE Project Board, consisting of COE stakeholders from OICT, DFS, DPKO, and representatives from field missions, meets quarterly to review changes, new requirements, and other issues pertaining to ECOE. The Board is responsible for determining the priorities for application development and change. Terms of Reference for the Board are attached as an appendix to this Annex.

## **APPENDIX TO ANNEX Q - ECOE PROJECT BOARD TERMS OF REFERENCE**

### **A. Introduction**

1. The ECOE project is in its fifth year of deployment. Given evolving COE business requirements in UNHQ and the field, ECOE requires a formal framework to provide strategic guidance and oversight concerning its future development. There is a business need that an ECOE Project Board be established to provide oversight, management guidance and accountability throughout the life of the ECOE project.

### **B. Background**

2. The General Assembly decided, in its resolution 60/283 of 17 August 2006, to replace the Integrated Management Information System with a new next-generation enterprise resource planning (ERP) system and to carry out substantive improvements to the information and communication technology systems, including the systems at offices away from Headquarters, the regional commissions and peacekeeping operations.
3. While the ERP system streamlines and automate the core financial, administrative and management operations, the Customer Relationship Management (CRM) system deals with the specific processes connected with providing day-to-day services for end-users, which are not normally dealt with by an ERP system. The initial intent for CRM was to focus on three specific areas, namely, facilities and Member States services management, peacekeeping troop contribution management, and peacekeeping telecommunications billing (Report of the Secretary General A/62/510 dated 29 October 2007). Subsequently, the scope of CRM-based solutions was expanded to cover more than 40 service desks for ICT, facilities, contact management for the UN Operations Crisis Centre, case management, and other business areas such as rations management and fuel management for peacekeeping.
4. Resolution 64/243 of 24 February 2010 of the General Assembly recognized the benefits of the implementation of the CRM and reiterated its request to the Secretary General to continue to implement these applications throughout the Organization. The underlying software for CRM applications is Siebel, a standard enterprise platform for the UN Secretariat.
5. "ECOE" is the name of the CRM application for the verification reporting on equipment and SS services of troop/police contributors in peacekeeping missions.
6. The first release of the application was implemented in 2010. ECOE was gradually introduced with the most recently deployment to MINUSCA, bringing the total number of field missions using ECOE to 13. ECOE has over 300 registered users and has been used to produce 5,695 ME and SS Verification Reports to date, and maintains detailed serviceability and inspection records for over 70,000 items of contingent owned equipment.
7. In 2007, COE business processes for MOU development; verification inspection, reporting, and reimbursement were documented by the Department of Field Support (DFS) and the Department of Peacekeeping Operations (DPKO). OICT developed a Proof of Concept and procured project resources for development of a COE application using CRM software. In the latter half of 2009, LSD was engaged through a presentation on CRM for COE from OICT staff, with the intention to engage LSD stakeholders and subject matter experts. Business requirements for the COE application were developed in subsequent consultations.
8. At the time ECOE was originally planned, core project value adds consisted of the following:
  - 8.1. Consolidation and replacement of multiple and dis-integrated Lotus Notes databases into a single system which retained inspection data and auto-generated VR based on this data;

- 8.2. Development of capability to enter inspection data into ECOE during inspections via mobile devices;
  - 8.3. Integration with existing COE IT systems managed by the MOU and Claims Management Section (MCMS) in Field Budget Finance Division (FBFD), DFS.
9. The implementation of ECOE has improved data quality, efficiency, and provided auditable inspection records. However, key project deliverables remain pending, and new requirements and priorities have emerged since the project was established. Key among these are the following:
- 9.1. COE processes managed separately in FBFD and LSD remain un-integrated. The continued maintenance of separate systems for MOU and claims / reimbursement calculations means that MOU and VR data are still shared and entered manually between FBFD, OICT, LSD, and field users, resulting in inefficiencies and problems in data quality.
  - 9.2. New reporting requirements resulting from changes in COE framework based on decisions of the General Assembly (SAG recommendations, 2014 COE Working Group), and senior management (Uniformed capability performance evaluation).
  - 9.3. New approach in COE management resulting in requirements of business intelligence capability, something currently unavailable in ECOE.

### **C. Role of the Project Board**

10. The role of the Project Board is to:
- 10.1. Take on responsibility for the project's feasibility, business plan and achievement of outcomes;
  - 10.2. Define and control the ECOE project scope and priorities to ensure that the project's deliverables align with the requirements of the stakeholder groups and GA mandate;
  - 10.3. Collate, review, and prioritize new ECOE user requirements, as provided by the field and stakeholders in UNHQ;
  - 10.4. Address cross functional issues, such as integration of legacy and Enterprise Resource Planning applications into ECOE;
  - 10.5. Ensure timely execution of decisions;
  - 10.6. Reconcile differences in opinion and approach among stakeholders;
  - 10.7. Report on project progress to senior management and project stakeholders;
  - 10.8. Make recommendations for issues pertaining to resources for the project;
  - 10.9. Take on responsibility for additional management issues associated with the project.

### **D. Composition of the Project Board**

11. The ECOE Project Board will be composed of senior stakeholders within the following organizational entities:
- 11.1. Logistics Support Division/DFS
  - 11.2. Field Budget and Finance Division/DFS
  - 11.3. Office of Information and Communications Technology (OICT)

#### 11.4. Field ECOE Users

12. The field will be represented by Chiefs of COE units from two Missions. These representatives will rotate annually and should represent the diverse perspectives and needs of the missions: small and large, deploying, sustaining, closing, etc. The Board shall consult, inform, or include as ad hoc members from Office of Military Affairs, Police Division, and Information and Communications Technology Division, as appropriate.

#### E. Project Board Chair

13. The Chair shall convene the Project Board meetings. If the designated Chair is not available, then the Senior User (referred to as the Acting Chair) will be responsible for convening and conducting that meeting, and reporting to the Chair.

#### F. Secretariat

14. The Board shall be supported by a secretariat. The COE Unit/LSD shall act as the secretariat and shall be responsible for organizing and servicing meetings of the board and preparing meeting minutes and recommendations for approval of authorized officials.
15. The Project Board shall be comprised of:

<b>Title/Department</b>	<b>Board Role</b>
Director, LSD	Chair/Executive
Director, Enterprise Application Centre, OICT, Bangkok	Senior Supplier
Chief, COE & Property Management Support Section	Senior User/Acting Chair
CRM Program Manager Enterprise Application Centre, OICT, Bangkok	Project Manager
Chief, Service Management Systems Section, OICT	Senior Supplier
Unit Chief, MCMS	Stakeholder / FBFD Representative
Chief, COE Unit, UNMISS	Senior User / Mission Representative
Chief, COE Unit, UNMIL	Senior User / Mission Representative
Chief, COE Unit, UNHQ	Senior User / LSD Representative
COE Unit	Secretary

#### G. Agenda Items

16. All Project Board agenda items must be forwarded to the Secretariat by Close of Business four working days prior to the next scheduled meeting. The Project Board agenda, with attached meeting papers will be distributed at least two (2) working days prior to the next scheduled meeting.

#### H. Minutes & Meeting Papers

17. The format of the Project Board minutes shall be in the format as attached to this document. The minutes of each Project Board meeting will be recorded and distributed by the Secretariat.

#### I. Frequency of Meetings

18. The Project Board shall meet when issues under its terms of reference arise, but at least once every quarter, to review overall implementation of the ECOE project, completion of pending tasks, and consideration of change management issues.

## **J. Quorum Requirements**

19. A minimum of three (3) Project Board members is required for the meeting to be recognized as an authorized meeting for the recommendations or resolutions to be valid. The quorum must contain at least one (1) member from the OICT, one (1) member from the LSD, and one (1) member from a field Mission.
20. When necessary, the board will form Working Groups comprising of COE stakeholders and ECOE users in UNHQ and the field to jointly evaluate specific support issues and recommend operationally reasonable and cost-effective solutions.

## **Annex R. INSTRUCTIONS TO FIELD MISSIONS ON ROTATION OF TROOP/POLICE CONTRIBUTING COUNTRIES MAJOR EQUIPMENT AT UNITED NATIONS EXPENSE**

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### **A. PURPOSE**

1. The purpose of these Instructions is to detail how field missions implement General Assembly Resolutions 68/282 and 71/296 relating to the rotation at UN expense of troop/police contributing countries (TCC/PCC).

### **B. RATIONALE**

2. The rotation at UN expense of specific categories of TCC/PCC ME deployed to field missions was recommended by the 2014 Contingent-owned Equipment Working Group (COE WG) and further revised by the 2017 COE WG. Both recommendations were approved by the General Assembly vide resolutions 68/282 and 71/296 respectively.
3. The General Assembly, in its resolution a/RES/71/296, approved the insertion of the following paragraphs in the COE Manual (Chapter 4);
  - 3.1. *28 bis. Certain categories of major equipment under prolonged deployment to peacekeeping missions which are non-operable, or for which continued maintenance is not economical in the mission area, can be considered for rotation at United Nations expense at the discretion of a mission contingent-owned equipment/ memorandum of understanding management review board in consultation with the applicable contingent commander, on the basis of operational requirements within the mission. These categories are as follows: aircraft/airfield support equipment, armoured personnel carriers (tracked), armoured personnel carriers (wheeled), engineering equipment, engineering vehicles, support vehicles (commercial pattern) and support vehicles (military pattern).*
  - 3.2. *29 ter. To be eligible for consideration, equipment must have been continuously deployed in peacekeeping operations for at least seven years or 50 per cent of its estimated useful life, whichever comes earlier. Rotation will be considered when the amount of equipment proposed for rotation represents 10 per cent or more of the amount of equipment in at least one eligible category. Equipment to be rotated at United Nations expense shall be treated by the United Nations as if it were contingent-owned equipment being repatriated at the end of the unit's deployment to a mission area. Replacement equipment shall be treated as if it were equipment being deployed under the contingent's initial deployment to a mission area.*
4. The General Assembly further approved that the total amount across all missions for the associated expenses for a financial year should not exceed \$8 million.
5. These Instructions are issued to ensure procedures are in place to establish the priorities, on a mission and global basis, for equipment to be rotated and that the process is managed to ensure the most efficient and effective use of available financial resources to improve the operational capabilities of contingents and field Missions.



## C. PRINCIPLES

6. The rotation of T/PCC major equipment at UN expense shall be based on the following principles:
  - 6.1. The recommendation, decision and execution of the rotation of COE major equipment shall be driven by operational considerations.
  - 6.2. The rotation of COE at UN expense is not an entitlement. T/PCC may request the rotation of eligible COE major equipment through the Contingent Commander for consideration of the mission CMMRB, utilising the formats and criteria as detailed at Appendices A and B to these Instructions.
  - 6.3. Based on operational requirements and in accordance with the criteria as detailed in Appendix B to these Instructions, field Mission CMMRB shall assess and recommend to UNHQ the eligibility and priority for rotation at UN expense of COE major equipment. UNHQ, in consultation with applicable T/PCC, shall review mission CMMRB recommendations and, based on global mission operational requirements and priorities, the availability of replacement major equipment from the T/PCC and available financial resources approve the rotation of COE major equipment.
  - 6.4. COE major equipment becomes potentially eligible for consideration for rotation when it has reached 7 years of continuous service in peacekeeping operations or 50 percent of its estimated useful life; whichever comes earlier. The estimated useful life of eligible equipment is as detailed in Annex A to Chapter 8 of the COE Manual, or as agreed between TCC/PCC and the UN in individual MOU. The 2017 COE WG has also set a threshold of 10 percent of eligible deployed items in any single category being replaced before transportation assistance is provided.
  - 6.5. The 2017 COE WG has expanded the rotation of COE to eligible categories of ME items lost or damaged due to hostile action or forced abandonment.
  - 6.6. Equipment deployed in one field mission and subsequently deployed directly to another field mission shall be considered to have been continuously deployed in peacekeeping operations from the date of arrival in the initial field Mission.
  - 6.7. The assessment, recommendation, approval and execution of the rotation of major equipment at UN expense shall be managed on an annual cycle corresponding to the financial year (Jul-Jun) of DPKO/DFS field missions.
  - 6.8. The deployment of replacement COE major equipment, to restore or maintain contingent and Mission operational requirements, takes priority over the repatriation of major equipment being replaced. As such, the deployment should precede the repatriation of equipment being replaced. Deployment of replacement major equipment may occur in a different FY to the repatriation of the major equipment being replaced. T/PCC are to be encouraged and proactively assisted by field missions to consider, where appropriate, alternatives to the repatriation of major equipment such as the disposal of unserviceable major equipment, in the Mission area.
  - 6.9. Where appropriate and cost-effective, rotations of COE at UN expense can be combined with rotation/deployment of COE that is the responsibility of T/PCC. The cost of such combined COE movements should be apportioned accordingly. The UN and T/PCC shall agree in writing to cost recovery action dependant on which party is responsible for transportation.

6.10. DFS, in consultation with field Missions and T/PCC, shall concur, on the basis of T/PCC technical analysis, whether the continued maintenance of eligible major equipment is not economical in the mission area.

## E. GUIDELINES

7. The procedures outlined below are intended to facilitate informed decision making at all levels in response to T/PCC requests to rotate ME, to maximise the utilization of available financial resources in the most effective and efficient manner and to ensure effective on-going dialogue with T/PCC to restore or maintain contingent and Mission operational capabilities.
8. The table below outlines the step by step, by phases, processes for preparation, submission, review and consideration of T/PCC requests for rotation of eligible COE major equipment at UN expense; at the Mission level. The table describes the actions required and the lead office.

Phase 1: Preparation of Contingent Request to Rotate COE at UN Expense	Lead
The Contingent Commander will assess COE vehicles under prolonged deployment that are non-operable or for which continued maintenance is not economical in the mission area in terms of impact on the operational capability and readiness of the formed unit(s) concerned to perform mandated tasks.	CC
In accordance with these Instructions, the Contingent Commander will identify COE ME that is eligible for rotation at UN expense and prepare the equipment listing as per Annex A.	CC
The Contingent Commander will coordinate with the national authorities of the T/PCC regarding the intent to rotate, the availability and details of replacement equipment and the estimated time of deployment.	CC
<p>Following consultations with T/PCC national authorities, the Contingent Commander will generate a request for rotation of eligible COE at UN expense that should include the following information:</p> <ul style="list-style-type: none"> <li>• Assessment of the impact on operational capability of the formed unit(s) resulting from the prolonged deployment of the COE involved.</li> <li>• List of COE ME proposed for rotation at UN expense with indication of numbers and types of replacement items of major equipment as per Appendix A.</li> <li>• Checklist for eligibility of COE ME for rotation at UN expense as per Appendix B.</li> <li>• Undertaking and substantiation when continued maintenance is not economical in the mission area.</li> <li>• Indication that the rotation involving ineligible equipment, for example trailers, Electrical equipment etc, will be at no additional cost to be incurred</li> </ul>	CC

<p>by the UN or that the T/PCC has agreed in writing to cost recovery action for any additional costs.</p> <ul style="list-style-type: none"> <li>The preferred alternative disposal methods of the equipment to be replaced i.e. disposal locally through the Mission's asset disposal program, commercial sale or donation based on bilateral arrangements with a third party (DFS/DPKO "Guidelines for the Field Verification and Control of COE and Management of MOU", refers)</li> <li>T/PCC intent in terms of timelines and method of rotation arrangements (UN vs LOA)</li> </ul> <p>The COE Unit of the Mission Support Division should provide policy and procedural advice to the Contingent Commander in staffing the request.</p>	
<p>The Contingent Commander will submit the request with all supporting documentation to the Secretariat of the Mission CMMRB (COE Unit) for review and case presentation.</p>	CC
<p>The Contingent Commander will send a copy of the request to T/PCC national authorities for information and concurrent coordination with UNHQ</p>	CC
<p><b>Phase 2: Preparation of Mission CMMRB case</b></p>	<b>Lead</b>
<p>Upon receipt of a request for rotation of COE equipment from a Contingent Commander, the Mission COE Unit shall share the list of equipment with HQ COE Unit verify it against the MOU and ensure that the request follows these Instructions.</p>	Mission COE Unit
<p>Mission MOVCON Section in coordination with MOVCON Section in UNHQ provides estimated costs of executing the rotation taking into consideration possibilities for economy of scale resulting from potential consolidation of cargo movement requirements.</p>	Mission MOVCON
<p>If required, Mission Transport Section (TS), in consultation with HQ Surface Transport Section (STS), confirms that continued maintenance of vehicles eligible for rotation is not economical in the mission area.</p>	Mission TS
<p>Mission COE Unit prepares a report indicating mission-wide status and projection for the current and, when requested by CMMRB, next financial year of COE vehicles potentially eligible for rotation at UN expense and with information on previously submitted requests that are being initiated by other contingents in the Mission.</p>	Mission COE Unit
<p>Mission COE Unit prepares a CMMRB case presentation including all relevant information, distributes the case to all members of the CMMRB for review and comments prior to the CMMRB meeting.</p>	Mission COE Unit

The CMMRB Secretariat invites the Contingent Commander to attend the CMMRB meeting considering the request. Representatives of Mission MOVCON and TS may also be invited to provide technical advice as necessary.	CMMRB Secretariat
<b>Phase 3: Mission CMMRB review of requests for COE Rotation</b>	<b>Lead</b>
The CMMRB reviews the request in consultation with the Contingent Commander or his/her representative, who should attend the CMMRB meeting and provide additional information as may be necessary.	CMMRB
The CMMRB determines the operational requirement for rotation of COE ME taking into consideration the current and foreseen operational situation in the Mission, Rules of Engagement, Statement of Unit Requirements, operational readiness and gaps in capabilities of the formed unit(s) involved against the MOU.	CMMRB
The CMMRB confirms the eligibility of COE ME for rotation, determines the most effective and efficient method of execution of the rotation, where appropriate, confirms the recommended alternative methods of disposal of non-operable equipment in the mission area where applicable, estimated cost of rotation and, based on advice from FBFD/DFS, considers funding arrangements for the rotation.	CMMRB
The CMMRB determines the priority for the rotation based on the role of the unit(s) concerned and taking into consideration eligibility and operational requirements for rotation of COE at UN expense of other contingents in the Mission. The CMMRB shall assign a priority to each request for rotation as being either, High, Medium or Low (Priorities are defined in Section G of these Instructions).	D/CMS
CMMRB takes a decision to recommend/not recommend further consideration of the request by HQ.	CMMRB
The recommendation of the CMMRB supporting the Contingent's request for rotation of eligible COE at UN expense with the case presentation and the Minutes of the CMMRB meeting will be signed by the Chair (co-Chairs) of the CMMRB. Following approval by the Force Commander (FC), Police Commissioner (PC), as appropriate, and the Director/Chief of Mission Support (D/CMS) the recommendations and Minutes are to be transmitted to HQ (Director, Logistic Support Division) for further processing and consideration of UNHQ CMMRB and final decision by the USG/DFS.	D/CMS
In case a rotation was recommended by the mission and was not considered for approval at UNHQ level for whatever reason, the mission COE Unit and D/CMS will ensure that any further request for the same unit is consolidated with the previous one. In this context, the mission CMMRB will take into consideration the previous request and recommend one consolidated list of equipment to be rotated at UN expense. The proposed equipment will be submitted for the approval process at UNHQ as one case.	D/CMS Mission COE Unit

PHASE 4: Action at UNHQ on the recommendations for rotation of COE at UN expense	
COE Unit, LSD reviews the recommendations, eligibility and fund availability against the yearly ceiling, coordinates with the respective Permanent Missions (PMs) with reference to the cargo readiness date, coordinates with OMA and PD for continued presence of the T/PCC in the PKO	COE Unit, LSD
COE Unit, LSD prepares Case papers for submission to the HQ CMMRB for consideration of the request	COE Unit, LSD
The case is recommended/rejected	HQ CMMRB
On recommendation by the HQ CMMRB the case is submitted to the USG, DFS for approval	COE Unit, LSD
On approval of the case, implementation of the rotation commences. MCS is to ensure that the load list is submitted as per the approved COE list for rotation. Where appropriate and cost-effective, rotations of COE at UN expense can be combined with rotation/deployment of COE that is the responsibility of T/PCC. The cost of such combined COE movements should be apportioned accordingly. The UN and T/PCC shall agree in writing to cost recovery action dependant on which party is responsible for transportation.	MCS, LSD

## E. TERMS AND DEFINITIONS

### Abbreviations

CC	Contingent Commander
CRD	Cargo Readiness Date
COE	Contingent owned equipment
CMMRB	COE&MOU Management Review Board
D/CMS	Director/Chief of Mission Support
DFS	Department of Field Support
DPKO	Department of Peacekeeping Operations
FBFD	Field Budget and Finance Division
FC	Force Commander
FY	Financial Year
MOU	Memorandum of Understanding
MOVCON	Movement Control Section (Mission or LSD/DFS level)
OMA	Office of Military Affairs.
PC	Police Commissioner

PD	Police Division
T/PCC	Troop/Police Contributing Country
SAG	Senior Advisory Group
USG	Under Secretary-General
VR	Verification Report (COE)

## **Definitions**

Priority for Rotation	Mission CMMRB are to assign a priority to each request for the rotation of COE major equipment. The priorities are as follows.
High Priority	The rotation of the equipment is considered critical to restore or maintain the operational capabilities of the contingent and the Mission, to complete mandated tasks.
Medium Priority	The rotation of the equipment will contribute significantly to the restoration or maintenance of the operational capabilities of the contingent and the Mission to complete mandated tasks.
Low Priority	The rotation of the equipment will contribute to the restoration or maintenance of the operational capabilities of the contingent and the Mission.

## **H. REFERENCES**

### **Normative or superior references**

- A. General Assembly Resolutions 68/282 and 71/296 of 2014 and 2017 respectively
- B. Contingent Owned Equipment Manual (2017)

### **Related procedures or guidelines**

- C. Guidelines for the Field Verification and Control of COE and Management of Memoranda of Understanding
- D. Generic T/PCC Guidelines

**APPENDIX A - Example template for List of Major Equipment proposed for Rotation at UN Expense (for use by Contingent Commanders)**

#	ME Category	Item Description	UN Plate # Equip serial #	Deployment Date	Estimated Useful Life (years)	Total Period of Unserviceability in past two Verification Report cycles (days)	To be Replaced By	Remarks
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)
1	APC (Tracked)	Infantry Carrier, armed, Class II	UN1234	1 Mar 2007	25	120 days	M113	
2								
3								
6	APC (Wheeled)	Missile equipped	UN 5678	1 Mar 2007	15	180 days	M113	Vehicle is tracked
7								
9								
11	Support Vehicle (Military Pattern)	Ambulance	UN9102	1 Mar 2007	10	150 days	Mercedes Benz	
12								
14								
17	Engineering Vehicles	Bulldozer, light (D4 and 5)	UN 6578	1 Mar 2007	12	100 days	Komatsu DX123	
18								
19								
22	Other Ineligible Major Equipment to be rotated at T/PCC expense	Generator ( 51-75kva)	UN4657	1 Jun 2009	10	180 days	Cummins FG 100kva	Equipment is 100kva
23		Water Treatment Plant (up to 2000 litres)	WTP 34215	1 Mar 2007	10	160 days	Westinghouse 5000	Equipment capacity is over 2000 litres per hour)
24								

**Notes:** Columns (b) and (c) – ME Category and Item Description as per MOU/COE Manual. Column (f) – Estimated useful life as detailed in Chapter 8 of the COE Manual. Column (h) – Insert manufacturers and/or specific equipment details. If the proposed replacement equipment does not match the MOU Major Equipment Category and/or Item Description in columns (b) and (c), indicate this in Column (i). Column (i) – Indications as per Note 3 and any other remarks.

## APPENDIX B

1. This document contains basic checks to determine eligibility for rotation of COE major equipment at the expense of the United Nations on the basis of criteria approved by General Assembly Resolutions 68/282 and 71/296.

### [Mission and Contingent submitting the request for rotation of COE major equipment]

<b>The Checklist should accompany the list of COE major equipment as per the enclosed format (Annex A) and forms part of the Contingent's request for rotation of COE at UN expense.</b>	
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	All items of COE correspond to the categories of Major Equipment as per the COE Manual 2017, Chapter 8, Annex A as follows: <ul style="list-style-type: none"> <li>• Aircraft/airfield support equipment</li> <li>• Armoured Personnel Carrier – Tracked</li> <li>• Armoured Personnel Carrier – Wheeled</li> <li>• Engineering equipment</li> <li>• Engineering Vehicles</li> <li>• Support vehicles (commercial pattern)</li> <li>• Support Vehicles – Military Pattern</li> </ul>
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	All COE are items of Major Equipment deployed in accordance with the provisions of the MOU, Annex B or items held in lieu of those on MOU
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	Includes Special Case major equipment items which are listed in Annex B of MOU and which are considered to be generically similar to the specified categories of eligible major equipment.
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	Includes COE items that have been continuously deployed in UN peacekeeping operations for at least 7 years.
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	Includes COE items that have been deployed in UN peacekeeping operations for less than 7 years but for a period exceeding 50 percent of their estimated useful life as indicated in the COE Manual, Chapter 8, Annex A, or as agreed in writing between the T/PCC and UN and recorded in individual MOU.
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	The amount of equipment proposed for rotation represents 10 per cent or more of the amount of deployed equipment in at least one eligible category.
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	All identified items of COE are non-operable or continued maintenance is not economical in the mission area.
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	Replacement COE items are identified and ready for shipment

NOTE : The potential eligibility for rotation of special case equipment items is to be determined as part of the special case procedures, agreed during MOU negotiations and the MOU annotated accordingly.

Contingent Commander: \_\_\_\_\_

Date: \_\_\_\_\_